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# Making the Past Present: Topics in Stravinsky's Neoclassical Works

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# Making the Past Present: Topics in Stravinsky's Neoclassical Works

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# Making the Past Present: Topics in Stravinsky's Neoclassical Works

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Igor Stravinsky's neoclassicism has frequently been discussed in terms of its relationship to earlier musical styles. While a number of scholars, employing a wide variety of analytical approaches, have examined this aspect of Stravinsky's neoclassical music, only a few scholars have used topic theory to explore the composer's link with music of the past. Seeking to fill this gap in the literature, this dissertation uses topic theory as its primary analytical approach, examining how Stravinsky's connections to the past can offer multiple ways of interpreting potential stylistic and expressive meanings in his neoclassical works.

Chapter 2 analyzes Stravinsky's topics and tropes utilizing Robert S. Hatten's four tropological axes: compatibility, dominance, creativity, and productivity. Each axis examines related but separate aspects of each trope, analyzing criteria related to the musical and stylistic associations of a trope's component topics along local and global

scales. Studying the different ways in which each of these four axes interact in Stravinsky's tropes provides a means to arrive at more nuanced musical and stylistic interpretations of these topical interactions.

Chapter 3 develops my concept of "distorted topics." Building on Pieter C. van den Toorn's discussions of "displacement" in Stravinsky's music, this chapter examines the composer's rhythmic and metric manipulations of certain dance topics. Using Wye Jamison Allanbrook's discussions of rhythm and meter pertaining to dance topics, this chapter examines these important rhythmic and metric characteristics of Stravinsky's neoclassical works, and explores ways in which these distortions can be interpreted musically and expressively.

Chapter 4 analyzes how Stravinsky used topics in four traditional formal models throughout his neoclassical period: ternary form, theme and variations form, sonata form, and cyclic form. First, the form itself is examined in order to determine how Stravinsky both adheres to and subverts the traditional model. Second, I examine the ways in which topics and tropes provide a sense of coherence to Stravinsky's appropriation of these forms. Using analytical techniques developed in chapters 2 and 3, chapter 4 examines the formal, stylistic, and expressive ways in which topics and tropes contribute to Stravinsky's manipulations of conventional formal structures.

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# Introduction: Topics in Stravinsky's Neoclassical Works

*"Unlike Haydn, Stravinsky could expect his audience to be more familiar with the musical language of the past than with that of the present – familiar enough, at any rate, to draw certain conclusions from the information furnished by programs he could normally (again unlike Haydn) expect them to be reading…. But these signposts would prove to be misleading guides for the unwary; and Stravinsky (this time like Haydn) may well have hoped that the more alert among his listeners might gain added enjoyment from the interplay of the anticipated and the actual."*[1]

Igor Stravinsky's neoclassicism has frequently been discussed in terms of its relationship to earlier musical styles. While a number of scholars, employing a wide variety of analytical approaches, have examined this aspect of Stravinsky's neoclassical works, only a few have used topic theory to explore the composer's link with music of the past. Seeking to fill this gap in the literature, this dissertation uses topic theory as its primary analytical approach, examining how Stravinsky's connections to the past can offer multiple ways of interpreting expressive meaning in his neoclassical compositions.

Topic theory has most commonly been utilized as an analytical approach for music of the eighteenth and nineteenth centuries, from Leonard Ratner's discussions of topic theory in 1980 to the recently published *Oxford Handbook of Topic Theory* (2014).[2] However, some scholars such as Kofi Agawu have begun to turn their attention to topics in twentieth-century music. Since topic theory is a tool that has most commonly been used to discuss tonal repertoires, some adjustments have to be made when considering non-tonal music. Jessica Narum, in a recent dissertation on topics in the music of Schoenberg, points out that "as the nineteenth century progressed into the twentieth, the

[1] Edward T. Cone, "The Uses of Convention: Stravinsky and His Models," *The Musical Quarterly* 48, No. 3 (July, 1962), 291.

[2] See: Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer Books, 1980), 1–30. Danuta Mirka, "Introduction," in *The Oxford Handbook of Topic Theory* (New York: Oxford University Press, 2014), 43. Mirka states in this introduction that "this volume is dedicated to eighteenth-century musical topics," though some of the authors in this collection do discuss nineteenth-century music.

individualization of harmony that fostered non-tonal music was paralleled by an individualization of musical topics."[3] Given that musical languages became more variegated in the twentieth century, topics began to be used in different ways, which in turn led to new expressive meanings.

These new uses of topics are important to any discussion of twentieth-century topics, but J. Peter Burkholder's study of the music of Charles Ives suggests that we also consider topics used in non-tonal repertoires as a continuation of their tonal predecessors:

> There are close similarities between Ives's practice and the use of musical topics by composers from the Classic era onward, as described by Leonard Ratner and other scholars. In both cases, contrasts of style provide variety and delineate the form, and the use of recognizable styles with specific associations may convey expressive meanings. The main difference is the wider stylistic range in Ives's music between existing styles and newly invented ones. Considering Ives's music as an extension of this tradition of musical topics can enrich our understanding of Ives's music and perhaps of the tradition as a whole.[4]

Broadening the scope of Burkholder's argument from Ives to the early twentieth century in general, it is to our advantage as analysts to consider topics in twentieth-century music as an extension of earlier uses of musical topics. These figures play an important role in twentieth-century music, in particular given their ability to demonstrate ways in which composers both maintain and modify their relationships to previous musical styles. Any discussion of topics in twentieth-century music must discuss each figure's relation to its traditional forebears, as well as demonstrate how the topic is used and altered in the

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[3] Jessica Narum, "Sound and Semantics: Topics in the Music of Arnold Schoenberg" (Ph.D. diss., University of Minnesota, 2013), 3.

[4] J. Peter Burkholder, "Stylistic Heterogeneity and Topics in the Music of Charles Ives," *Journal of Musicological Research* 31, No. 2–3 (June, 2012), 166. Narum (2013: 3) makes a similar point regarding Schoenberg's use of topics: "In recent years, analysts have demonstrated that despite Schoenberg's move beyond tonality, his conflicted relationship with this aspect of his musical inheritance can be found in the faint (and sometimes not so faint) allusions to tonal thinking found throughout even his twelve-tone music. I argue that musical topics form a similar aspect of his musical inheritance, which results in their occasional conflicted use in Schoenberg's music."

music itself. Thus, a review of conventional topic theory will lay the groundwork for discussions of Stravinsky's use of these figures in his neoclassical music.

## An Overview of Topic Theory

In his 2007 article, Nicholas McKay divides the most influential scholars of topic theory into two "generations," Leonard G. Ratner, Wye Jamison Allanbrook, and Kofi Agawu comprising the first, Robert S. Hatten and Raymond Monelle forming the second.[5] As McKay notes, the first generation established topic theory as an analytical procedure, while the second expanded upon these ideas to create more nuanced socio-historical and expressive analytical approaches.

The first generation was led by "topic theory's founding father," Leonard G. Ratner, whose 1980 book is recognized as one of the first to directly address the issue of topic theory.[6] Ratner's premise is that "all artistic expression, including music, was dedicated to *stirring the feelings*."[7] As Ratner discusses, one of the primary strategies for accomplishing this was through the use of "topics," defined as "subjects for musical discourse." These subjects served as a "thesaurus of *characteristic figures*" used by

[5] Nicholas McKay, "On Topics Today," *Zeitschrift der Gesellschaft für Musiktheorie* 4, No. 1–2 (2007), 161. The work of these five scholars has shaped the field of topic theory into what it is today, though as McKay points out some of the prominent ideas in contemporary topic theory were influenced by "earlier theorists like Koch, Kolmann, Riepel, and Sulzer, and more recent twentieth-century theorists such as Tovey and Rosen."

[6] Despite Ratner's (1980) book being considered the first to directly address topic theory, Stephen Rumph (2012) points out that Ratner first began developing these idea of topics in his 1957 book *Music: The Listener's Art*, in which he called these same figures "types and styles" rather than topics (Rumph, 2012: 79). See pp. 164–176 of Ratner (1957) for this discussion. Rumph goes on to discuss how it was in the second edition of this book that Ratner began using the term "topic" (see Ratner, 1966: 214), before giving the concept a full investigation in his 1980 text that most scholars consider to be the first complete treatment given to topics.

[7] Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer Books, 1980), 3.

composers in the eighteenth century, and were presumably understood by their audience.[8] While Ratner's discussion of topics has inspired countless scholars, his ideas have since received some criticism, primarily on two accounts. First, while his study is successful in introducing an "outright index or vast thesaurus" of eighteenth-century topics, it is less successful "in any analytical balance it seeks to strike between style and syntax."[9] That is, many of Ratner's analyses are useful in their identification of topics, but do not go much further in explaining how or why these figures are used. Second, it has been suggested that Ratner was wrong to support the validity of his theory based on the writings of contemporary authors.[10] Monelle discusses this point further:

> In many cases the extraordinarily rich accounts of contemporary writers have been abridged to almost nothing. In other cases, the translations presented are heavily tendencious [sic] or even wrong; passages are omitted, either because they fail to support the argument or for no apparent reason. Some of the most important topics find no support at all, though sources are given which lead nowhere. Even odder, texts which strongly support certain aspects of the theory are ignored.[11]

Monelle argues instead for a semiotic basis for topic theory, given what he considers the questionable validity of a historical basis. Danuta Mirka has recently attempted to restore legitimacy to the historical basis of topic theory, examining eighteenth-century sources

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[8] Ibid., 9.

[9] Nicholas McKay, "On Topics Today," 164. Susan McClary (2001: 326) finds this to be an issue with many topical analyses in general, which she expresses in a review of Monelle's *The Sense of Music*: "Yet the mere labeling of topics in masterworks produces in me the kind of dismay I would feel if an art critic were to explicate Picasso's *Guernica* by proudly identifying the "horsie," without somehow noticing the creature's anguished grimace or the other figures on the canvas."

[10] For more detailed discussions on this point, see (Monelle, 2000: 24–33) and (Rumph, 2012: 81–94).

[11] Raymond Monelle, *The Sense of Music: Semiotic Essays* (Princeton, NJ: Princeton University Press, 2000), 24.

that discuss related elements such as musical style, aesthetics, character, and affect.[12] Mirka makes several convincing arguments regarding the historical basis of these fields related to topics, but Monelle's point that Ratner does not offer convincing evidence for contemporary sources serving as a historical basis of topic theory itself is still pertinent to our understanding of topic theory today.[13]

Despite these criticisms, Ratner's theories have since been expanded upon, and continue to serve as the basis for most discussions of topic theory. Wye Jamison Allanbrook defines topics similarly to Ratner but expands on his study in two important ways. First, Allanbrook develops what she calls "the metrical spectrum," an expansion of two earlier figures (see figure 1–1).[14] One of these figures illustrates the relationship between common metrical patterns and "passions," in which "triple meters represent the danceable passions, duple the passions closest to the divine" (see figure 3–3).[15] The other figure provides a list of dance topics organized according to their metrical associations. Allanbrook's metrical spectrum thus illustrates the various dance types discussed throughout the first part of her 1983 book, their corresponding meters, and their accompanying patterns of metrical stress (represented by poetic scansion marks). The most important component of this metrical spectrum is how it links meters and dance

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[12] Danuta Mirka, "Introduction," in *The Oxford Handbook of Topic Theory*, ed. Danuta Mirka (New York: Oxford University Press, 2014), 1–57.

[13] Mirka (2014: 2–3) points out that Monelle "critically reviewed Ratner's sources, accused him of their problematic selection and odd translation, and concluded that 'contemporary writers are no good as buttresses of topic theory (2000: 33).' This verdict undermined the credentials of topic theory in the age of authenticity. The fact that the concept of topics did not exist in the eighteenth century and Monelle's suggestion that it had no basis in eighteenth-century sources discredited it in the eyes of those for whom historical pedigree of theoretical concepts featured high on the agenda. As a result, topic theory has not been integrated into the field of historically informed music theory, although the advances of this field in the last three decades were stimulated by Ratner's project."

[14] Wye Jamison Allanbrook, *Rhythmic Gesture in Mozart:* Le nozze di Figaro *&* Don Giovanni (Chicago, IL: University of Chicago Press, 1983), 67. "The Metrical Spectrum" is on p. 67, which is an expansion of two other figures on pp. 22 and 32.

[15] Ibid., 22.

topics that belong more to the expressive realm of the "Ecclesiastical" (exalted passions) and those that can be more easily described as "Galant" (terrestrial passions). Allanbrook summarizes this hierarchy: "the metrical hierarchy clearly corresponds to an affective one; accentuation, style of execution, and tempo taken together prescribe types of

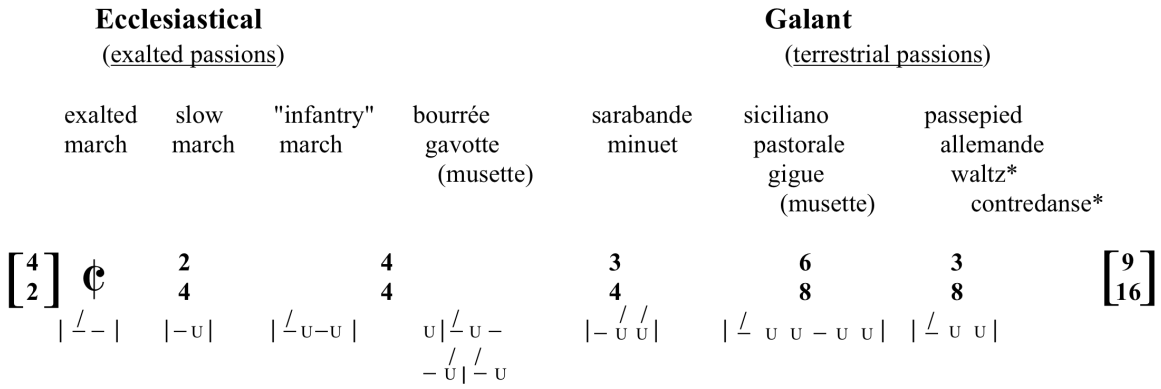


*Figure 1–1: Allanbrook's metrical spectrum illustrating how certain dance topics relate to the styistic associations of given meters.*

movement ranging from the most stately to the most spirited."[16] A second, related component of Allanbrook's theory, as Hatten has observed, is that "the oppositions of rhythmic gesture have expressive consequences; dance types are arrayed among high, middle, and low styles, with consequences for the representation of social status among characters in Mozart opera."[17] In this way, Allanbrook demonstrated how rhythm and meter were used to convey both the affective quality and social status inherent in each

[16] Ibid., 68.

[17] Robert S. Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, Interpretation* (Bloomington, IN: Indiana University Press, 1994), 68. It should be noted that Ratner also discusses issues of high and low style (Ratner, 1980: 365–96), but does not connect these categories to topics to the same extent as Allanbrook does.

dance topic. Our understanding of the rhythmic and metric components of topics can thus have important implications for our interpretation of the expressive associations conveyed by these conventional figures.

Kofi Agawu builds on the work of Ratner and Allanbrook by developing a semiotic approach to topic theory.[18] Borrowing Ferdinand de Saussure's concept of the sign and its two constituent parts, signifier and signified, Agawu divides his discussion of the sign into two separate streams, which he calls extroversive semiosis and introversive semiosis (terms he borrows from Roman Jakobson).[19] Extroversive semiosis is embodied by the topics themselves (elements of expression in which the signifier lies outside of the work itself) while introversive semiosis represents "pure" signs that refer to the harmonic syntax of the individual work (embodied by Agawu's "Beginning-Middle-End Paradigm"). Thus, Agawu's analytical method examines the "play" between these realms, elucidating the interactions between musical expression and construction. However, some of the criticism Agawu's work has since received centers on the priority given to structural over expressive elements. As Hatten points out, Agawu's study points to the elements of expression (topics) as they relate to structural locations within the work, but does not adequately describe their expressive meaning in a significant way.[20] That being said, Agawu's turn to a semiotic basis for discussions of topic theory was a precursor for later theorists who built upon similar ideas to develop more nuanced expressive approaches to analyzing topics.

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[18] In addition to the semioticians named in this discussion, Agawu also builds on the work of Umberto Eco, Roland Barthes, David Lidov, Edward Said, Charles Sanders Peirce, and Jean-Jacques Nattiez, among others.

[19] Agawu (1991) first introduces this distinction at the end of his introduction on pp. 23–5, but subsequently devotes a chapter to each component: Ch. 2 "Extroversive Semiosis: Topics as Signs" (26–50), and Ch. 3 "Introversive Semiosis: The Beginning-Middle-End Paradigm" (51–79). I direct the reader to these pages for a more detailed discussion of these elements of Agawu's theory.

[20] These critiques are perhaps best embodied by Robert Hatten's review of Agawu's 1991 book. For a more detailed discussion of his arguments, see (Hatten, 1992).

The first member of topic theory's second generation is Robert S. Hatten, whose study of music and meaning incorporates topic theory as part of his semiotic approach to the expressive interpretation of music.[21] Hatten's most recent definition of a topic is as follows:

> A *familiar style type with easily recognizable musical features*, ranging in complexity from a simple figure (fanfare, horn call), to a texture (learned style as polyphonic and/or imitative; chorale or hymn style as homophonic), a complete genre (various dance and march types; French overture), a style (*ombra*, *tempesta*, *Empfindsamkeit*), or some overlap of these categories. Topics may occur in families with hierarchies of inclusion; for example, larger topical fields or *modes* such as the pastoral, military (heroic), hunt, or ecclesiastical may encompass several topics. A topic's semantic field (and hence its general expressive correlation) is often rather clearly situated oppositionally, which further supports its immediate recognition, and general expressive interpretation, by the listener.[22]

The first part of this definition expands upon earlier definitions to clarify how topics are used on multiple levels of a musical hierarchy, from brief figures to complete genres and styles. Perhaps the most important component of this definition, however, is its final sentence, which incorporates semantics, oppositional meaning, and expressive interpretation into the discussion. For Hatten, topics are not simply used to organize the musical surface. Rather, detailed analysis of how topics are utilized in unique contexts helps to make sense of how the expressive associations of these topics can be interpreted in more meaningful ways. What makes Hatten's approach so valuable is the focus on expressive meaning as a primary component of music analysis, rather than an ancillary

[21] Hatten's semiotic approach is based on the work of Charles Sanders Peirce, Umberto Eco, and Michael Shapiro, among others.

[22] Robert S. Hatten, "The Troping of Topics in Mozart's Instrumental Works," in *The Oxford Handbook of Topic Theory*, ed. Danuta Mirka (New York: Oxford University Press, 2014), 514.

component to structural meaning.[23] This allows Hatten to incorporate topics into his overall approach to interpreting expressive meaning in music, using these figures along with other analytical techniques such as troping, markedness and correlation, and expressive genres.[24]

Raymond Monelle establishes a more culturally and historically inflected approach to the study of topics. As mentioned above, Monelle questioned Ratner's emphasis and reliance on contemporary sources as support for topic theory. Monelle responded by providing a culturally grounded semiotic discussion of the musical topic that builds on theories of Saussure and Peirce.[25] First, Monelle focuses on the importance of the indexicality of topics, or more precisely "*the indexicality of the content*, rather than the content itself."[26] While the iconic and indexical components of topics are still "governed by convention and thus by rule," Monelle points out that "it is possible for a musical syntagma to signify iconically an object which itself functions indexically in a given case."[27] One example of this phenomenon is the *pianto* topic, the motive of a falling minor second: "at first it always accompanied the textual idea of weeping – words like "pianto" or "lagrime" – but it soon began to signify merely grief, pain, regret, loss –

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[23] Nicholas Cook, "Review-Essay: Putting the Meaning back into Music, or Semiotics Revisited," *Music Theory Spectrum* 18, No. 1 (Spring, 1996), 108. Nicholas Cook discusses the importance of this aspect of Hatten's approach in his summary of Hatten's (1994) discussion of Beethoven Op. 101: "This example embodies what I would see as a key feature of Hatten's approach: the extrapolation from the music of an expressive logic that is parallel to, but not reducible to, its structural logic. He does not simply argue that structural elements have expressive properties; he argues that music embodies expressive processes just much as it embodies structural ones."

[24] Space does not permit me to discuss these concepts in full, so I encourage the reader to look in more detail at Hatten's discussions of these analytical tools in his 1994 book. For his discussions of markedness and correlation, see Ch. 2 "Correlation, Interpretation, and the Markedness of Oppositions" (29–66), and for more on expressive genres, see Ch. 3 "From Topic to Expressive Genre" (67–90).

[25] As Michael Spitzer (2002, 507) points out, Monelle question's the historical basis of topic theory "*only so as to place topics on a firmly theoretical, rather than historical, foundation*."

[26] Raymond Monelle, *The Sense of Music*, 17.

[27] Ibid.

in other words, the indexicality of its immediate object."[28] Thus, Monelle stresses the importance of knowing the musical, cultural, and historical contexts of topics in order to interpret how they signify in a given work. Our comprehension of these associations can inform our interpretations of the iconic and indexical meanings that topics convey. Second, Monelle adopts Saussure's notion that all aspects of the real world are determined by language, and are thus cultural constructions:

> The status of a sentence or term as a semiotic entity is not guaranteed by its relation to a real state of affairs, but by its interpretability within a code. We understand a given expression because we can attribute to it "the content of the contents that one or several codes usually and conventionally assign to it."[29]

In other words, musical meaning is constructed entirely through culturally formed rules. As such, the signifier/signified pair do not have to be related to each other in any real way (historically or physically). In fact, the signified may not exist at all, but, as with the pastoral topic, could be "wholly imaginary, a reflection of cultural fantasies."[30] One of the main points underlying Monelle's theory is that examining how a specific topic developed in a particular culture over time is crucial to interpreting the expressive meaning it projects in a given musical context.

The analytical approaches used in this dissertation draw primarily on the work of Allanbrook, Hatten, and Monelle. Allanbrook's connection of the rhythmic and metric attributes of topics to their corresponding expressive and stylistic components is important for interpreting how expressive meaning can be communicated through these characteristic figures. Hatten's analytical methods examine the ways in which expressive

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[28] Ibid.

[29] Raymond Monelle, *The Musical Topic: Hunt, Military, Pastoral* (Bloomington, IN: Indiana University Press, 2006), 21.

[30] Ibid., 13.

meaning can be conveyed in specific works, which involves looking in detail at topics along with other musical elements in order to interpret their unique interactions, and the meaning this interaction generates.[31] Monelle's approach to studying topics in relation to their socio-historical contexts is also crucial for grounding our understanding of the cultural meaning associated with these figures. Given that composers used topics to convey a particular expressive idea, one of the most effective ways to analyze the meaning of these characteristic figures is to reconstruct (to the best of our abilities) the socio-historical context in which they were heard by audiences of the time.[32] Careful attention to the unique ways in which topics interact with other musical elements in a given work, analyzed through the lens of the socio-historical context in which they were used, is one of the most comprehensive ways to expressively interpret a composer's use of topics.

## Playing with Topics: Stravinsky's Relationship with the Past

As mentioned above, Stravinsky's neoclassical works have frequently been discussed for their relation to earlier musical styles. Joseph N. Straus states that even though musicians are always concerned with past composers and styles to a certain extent, "the relationship between a music and its predecessors became a matter of particular urgency in the early

[31] Nicholas McKay, "On Topics Today," 162. As McKay puts it, "Despite a common misapprehension, topic theory is not simply the art of appending style labels to musical moments. Its hermeneutic elegance lies in its ability to explore the interplay of style *and* structure."

[32] Janice Dickensheets (2012: 101) voices a similar viewpoint: "In the same way that topics can only be used effectively if audiences perceive and understand them, so too will topical analysis provide meaningful results only when looked at within its specific context."

twentieth century."[33] For instance, twentieth-century composers could use topics to draw upon stylistic conventions of the past that an audience could easily recognize and interpret. Agawu also acknowledges this appropriation of past conventions, but suggests that composers often chose to rework these conventions to highlight the increased historical distance between the topic's original socio-historical context and its contemporary setting: "twentieth-century topical practice became, in part, a repository of eighteenth- and nineteenth-century usages even as the universe was expanded to include the products of various strategic denials."[34] In other words, the associations corresponding to traditional topics were still preserved in a manner that allowed an audience to recognize these stylistic conventions, even though composers used these figures in new ways in order to create their own expressive meanings.

Agawu elaborates on these "strategic denials" that are evident in Stravinsky's use of topics:

> In Stravinsky's music, an essentialized parasitical tendency often originates in a play with, or appropriation of, established topics. At the root of the aesthetic lies a desire to creatively violate commonplaces or figures burdened with historical or conventional meaning.[35]

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[33] Joseph N. Straus, *Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition* (Cambridge, MA: Harvard University Press, 1990), 3. Straus sees this concern with the music of the past as a unifying element amongst twentieth-century composers who are commonly discussed for their stylistic differences rather than their similarities. The reasons Straus (1990: 3–5) provides for this twentieth-century concern with the past include, among other factors, "a shift in musical taste from contemporary to older music" in part supported by "the burgeoning music industry and the growing mass audience" and the "technological breakthroughs and increasing commercial pressures associated with the emergence of the musical mass culture," the "increasing separation of popular and classical traditions," and the formation of an attitude toward the musical canon that led to twentieth-century composers "increasingly taught through study of the masterworks of the past."

[34] Kofi Agawu, *Music as Discourse: Semiotic Adventures in Romantic Music* (New York: Oxford University, 2009), 48. Straus (1990: 1) makes a similar claim: "traditional elements inevitably retain their traditional associations. As a result, they become the locus of a productive musical tension. They evoke the traditional musical world in which they originated, even as they are subsumed within a new musical context."

[35] Ibid., 49.

While Stravinsky could (and did) use topics in a more traditional manner, he often used these figures in unconventional ways so as to alter our understanding of their established meanings. A nontraditional use of topics may seem to make expressive interpretation problematic, given that these elements are based on conventions, but Agawu observes that "an aesthetic based on the intentional violation of a convention…is just as amenable to a discourse reading as one marked by the creative enactment of such convention."[36] That is, we can examine expressive meaning in Stravinsky's music whether he uses topics in a more straightforward or a less customary manner. In either case, analyzing the conventional associations of each topic and the ways in which Stravinsky manipulates them is crucial to interpreting stylistic and expressive meaning in his neoclassical works.

## Topics and Expressive Meaning in Stravinsky's Neoclassical Works

With some exceptions, Stravinsky scholarship has tended to avoid discussions of expressive meaning in his music, due in large part to the composer's 1936 statement that "music is, by its very nature, essentially powerless to *express* anything at all."[37] As McKay points out, "[Stravinsky's] oft-cited edict…weaned a generation of scholars off extroversive semiosis to focus instead on the 'pure signs' of his musical syntax."[38] However, some scholars, such as Maureen A. Carr, have begun to reconsider this stance:

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[36] Ibid., 315. McKay (2012) discusses this idea further in three analyses of topics in Stravinsky's music (modeled on Monelle's 2006 book): hunt (*Jeu du rapt* from *Le sacre du printemps*), military (the "Soldier's March" from *L'Histoire du soldat*), and pastoral ("The Shepherd's Aria" from Act 2 of *Oedipus Rex*).

[37] Igor Stravinsky, *An Autobiography* (New York: W.W. Norton & Company, 1998), 53.

[38] Nicholas McKay, "Dysphoric States: Stravinsky's Topics – Huntsmen, Soldiers and Shepherds," in *Music Semiotics: A Network of Significations: In Honour and Memory of Raymond Monelle*, ed. Esti Sheinberg (Burlington, VT: Ashgate Publishing Ltd., 2012), 249.

> With the acknowledgement that Stravinsky developed musical paradigms that support the dramatic conflicts built into the narratives of *Perséphone* and *Orpheus*, and that he used other musical devices for expressive purposes in *Oedipus Rex* and *Apollo*, an opposition is established between Stravinsky's stated belief in *An Autobiography* about the inability of music "to express anything at all," and his compositional practice.[39]

In her 2002 book, Carr examines Stravinsky's sketches for these four theatrical works, analyzing the musical structures and the relationships they form with each work's narrative. Through analysis of Stravinsky's sketches, Carr demonstrates how the composer was fully cognizant that his music could affect the work's narrative meaning, suggesting that he was aware of music's expressive capabilities, and that this awareness influenced his compositional decisions.

Tamara Levitz examines similar expressive components of Stravinsky's compositional approach to music and the theater in her study of *Perséphone* (1933–4):

> On the one hand he distanced himself from immediate emotion by introducing narrators, creating third-person narratives, and parsing story lines into blocks of music that resembled pieces of a jigsaw puzzle. On the other hand he created acute emotional tension by juxtaposing musical blocks that contrasted individual melodic lines in irregular rhythms with blocks that manifested objectified nonverbal emotions through gestic, regular, ostinati, or iconic rhythms.[40]

Like Carr, Levitz points to a tension between Stravinsky's public statements concerning emotion and the expressive content of his music. Levitz's description of "objectified nonverbal emotions" suggests that Stravinsky could use certain elements to create expressive meaning for the audience while remaining detached from the emotional content itself. Levitz's reference to Stravinsky's use of "iconic rhythms" in particular

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[39] Maureen A. Carr, *Multiple Masks: Neoclassicism in Stravinsky's Works on Greek Subjects* (Lincoln, NE: University of Nebraska Press, 2002), 297.

[40] Tamara Levitz, *Modernist Mysteries:* Perséphone (New York: Oxford University Press, 2012), 361.

points to the composer's familiarity with his musical past, and implies that he used such elements in his compositions in order to convey these "objectified nonverbal emotions."

McKay's discussion of conventions also suggests that Stravinsky both knew and referred to past musical styles in his compositions, but he further refines this concept to create a direct link with topics:

> Though the gestures that encode such oppositions in Stravinsky's syntax appear removed from the conventional commonplaces of Agawu's 'universe of topics,' their distance is often achieved through a willful negation of organic conventions that makes possible a reading of Stravinsky's rhetorical surface as referential through the 'absent signifiers' of classicism. This enables one to construct a universe of antithetical topics in a parodic musical discourse; one that seeks to invert the conventional marked-unmarked identities that Hatten teases out of his readings of Beethoven.[41]

Building on Agawu's statement concerning Stravinsky's violation of convention (cited above), McKay suggests that it is possible to analyze expressive meaning in Stravinsky's music. According to McKay, examining Stravinsky's topics using methods such as Hatten's is a viable approach if we consider these conventional elements as imitations or corruptions rather than exemplars of their original forms. The ways in which Stravinsky utilized and altered topics are manifold, so it is crucial to examine Stravinsky's manipulation of past musical styles in general, and topics in particular in order to interpret stylistic and expressive meaning in his neoclassical works.

The fact that Stravinsky's neoclassical compositions use topics suggests that his music is able to convey stylistic and expressive information to the listener. Topics are a valuable resource for an emotionally objective composer like Stravinsky, given that

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[41] Nicholas McKay, "On Topics Today," 172. While expressive readings of Stravinsky's music can be analyzed in different ways than "parodic," McKay's point that Stravinsky's music is referential and thus subject to discourse reading is well taken.

topics are, in a sense, emotionally objective compositional elements. Regardless of the context in which they are used, each topic conveys similar expressive information to the listener. Stravinsky could thus draw on a topic for its stylistic and expressive associations without having an emotionally personal or subjective attachment to the figure. His unique compositional style does affect the listener's interpretation of these topical associations, but the various compositional strategies that he employs to obscure the topic itself preserves the emotional objectivity of these elements. Thus, even if we characterize Stravinsky as an emotionally objective composer, we can still assume that he knew each topic's associations, and was aware of how he could manipulate these figures to create expressive meaning for his audience.

A potentially valuable approach to interpreting stylistic and expressive meaning in Stravinsky's neoclassical works, then, is to examine the exchanges between conventional models and the ways in which the composer modifies these models in his music. Topics provide a valuable resource in this respect, given that they can convey familiar stylistic and expressive information to the listener. By examining stylistic and expressive meaning in Stravinsky's neoclassical works primarily through his use of topics, this dissertation aims to add valuable new perspectives to our understanding of the composer's music. Chapter 2 analyzes Stravinsky's topics and tropes, utilizing Hatten's concept of troping – the creative interaction formed by the combination of multiple, unrelated figures in the same functional location – as discussed in his recent article published in the *Oxford Handbook of Topic Theory*. In this article, Hatten analyzes tropes along four axes: compatibility, dominance, creativity, and productivity. Each axis examines related but separate aspects of each trope, analyzing criteria related to the musical and stylistic

associations of a trope's component topics along local and global scales. Studying the different ways in which each of these four axes interact in Stravinsky's tropes provides a means to arrive at more nuanced musical and stylistic interpretations of these topical interactions.

Chapter 3 develops my concept of "distorted topics." Building on Pieter C. van den Toorn's discussions of "displacement" in Stravinsky's music, this chapter examines the composer's rhythmic and metric manipulations of certain dance topics. These topics are analyzed to assess how they are musically altered in relation to their topical predecessors, which can inform how the stylistic and expressive associations connected to these topics also change. Using Allanbrook's discussions of rhythm and meter pertaining to dance topics, this chapter examines these important rhythmic and metric characteristics of Stravinsky's neoclassical works, and explores ways in which these distortions can be interpreted musically and expressively.

Chapter 4 analyzes how Stravinsky used topics in four forms throughout his neoclassical period: ternary form, theme and variations form, sonata form, and cyclic form. Each composition in this chapter is examined along two different, albeit related sets of criteria. First, the form itself is examined in order to determine how Stravinsky both adheres to and subverts the traditional model. Second, the ways in which topics and tropes provide a sense of coherence to Stravinsky's appropriation of these forms are studied. Using analytical techniques developed in chapters 2 and 3, the formal, stylistic, and expressive ways in which topics and tropes contribute to Stravinsky's manipulations of conventional formal structures are examined in chapter 4.

# Chapter 2
# Topics and Tropes: Applications of Hatten's Four Tropological Axes

*"A real tradition is not the relic of a past that is irretrievably gone; it is a living force that animates and informs the present."*[1]

## Introduction

One of the more unique ways in which topics are used in Stravinsky's neoclassical works is in combination with other topics, a process Robert S. Hatten has defined as "troping," based on linguistic theories of metaphor.[2] Hatten states that metaphors are vastly important to our understanding of language: "At its most powerful, a metaphor offers a novel insight by creating an interaction between two already established meanings that involves disparate, perhaps contradictory, domains of meaning, and that is brought together by a linguistic act of predication."[3] While this works for language, Hatten considers how we can conceive of a purely musical metaphor, one that does not require linguistic cues to spark a creative interaction. Offering two examples from earlier scholarship – Vladimir Karbusicky (1986) and Márta Grabócz (1986) – Hatten discusses cases in which "it is music that generates metaphor by its own internal processes."[4] As he puts it, "the musical trope I would call metaphor is derived from already established correlations that are brought together in a single functional location or process, where their contradiction provokes an emergent interpretation."[5] In other words, given our knowledge of the correlations associated with certain musical elements (of which topics

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[1] Igor Stravinsky, *Poetics of Music in the Form of Six Lessons* (Cambridge, MA: Harvard University Press, 2003), 57.

[2] Hatten (1994, 163) cites the work of George Lakoff and Mark Johnson (1980), Mark Johnson [ed.] (1981), Michael and Marianne Shapiro (1976/1988), and George Lakoff and Mark Turner (1989).

[3] Robert S. Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, Interpretation* (Bloomington, IN: Indiana University Press, 1994), 168.

[4] Ibid.

[5] Ibid., 172.

are often an exemplar), the creative fusion generated when two such figures are brought together in the same location allows for the possibility of a musical metaphor. This process – troping – is complicated, and is made more so in Stravinsky's music given the added historical distance from many of these topics' origins to their use in the twentieth century. Much of Hatten's analytical approach can remain intact, but there are some revisions and additions that must be made in order to utilize this tool more effectively for Stravinsky's neoclassical idiom.

## Combining Topics and Expressive Meanings

Working towards a theory of expressive meaning, Hatten develops the concepts of correlation and markedness. "Correlations and interpretations are conceived as mappings of expressive oppositions onto oppositions in musical structures," which typically involve "general *cultural units*…or expressive states defined by basic semantic oppositions in a culture (sad vs. happy; tragic vs. nontragic)."[6] However, Hatten goes on to discuss how these oppositions are usually weighted unequally, thereby introducing the "concept of markedness," which is "the valuation given to difference."[7] The "marked" term in each pair is the one that appears less frequently than its "unmarked" counterpart, and thus has a narrower range of meaning. These marked/unmarked pairings can be further interpreted through the process of "markedness assimilation," which holds that when correlating two oppositional pairs, the marked terms will correlate with one another, as will the unmarked terms. For example, works in a minor mode appear less frequently than those in a major

[6] Ibid., 30.
[7] Ibid., 34.

mode, and tragic expressive states are used less frequently than nontragic. Given these oppositional pairings, Hatten suggests that we can often correlate compositions written in the minor mode with tragic expressions, while works in the major mode typically correspond to a generally nontragic expressive state.

While correlation and markedness provide the basic mechanism to relate musical, cultural, and expressive elements, Hatten introduces the concept of troping to better interpret the interactions between figures when more than one are combined. He defines troping as "a species of creative growth that goes beyond the typical articulation of established types and their implied hierarchy. Troping akin to metaphor occurs when two, formally unrelated types are brought together in the same functional location so as to spark an interpretation based on their interaction."[8] Hatten goes on to say, however, that a trope is not merely a contrast between two elements, but must meet three basic criteria in order to warrant tropological interpretation:

1. The trope must emerge from a clear juxtaposition of contradictory, or previously unrelated, types.
2. The trope must arise from a single functional location or process.
3. There must be evidence from a higher level…to support a tropological interpretation, as opposed to interpretations of contrast, or dramatic opposition of characters.[9]

In order to interpret a musical interaction as tropological, there must be a contradiction between its elements and the interaction between these elements must either take place in a distinct part of the work's formal layout or through a clear process. Furthermore, the contradictory elements being qualified as tropological must be related to other musical events taking place in the composition. One of the examples Hatten provides is the finale

[8] Ibid., 295.
[9] Ibid., 170.

of Beethoven's Piano Sonata in A Major, Op. 101, in which the contrast between heroic/learned styles and the pastoral topic has been prepared in earlier movements, resulting in a more meaningful juxtaposition of contradictory elements in the finale.[10]

Hatten's initial discussions of troping split this concept into two basic categories. The first, which he considers to be the "weaker" of the two, is the "attribution model," which is understood as a case in which "either of the contradictory elements is understood as merely attributing a character to the other."[11] Putting this in topical terms, the defining characteristics of one topic (e.g. the march topic's duple meter) are understood as operating more prominently than another (e.g. the pastoral topic's harmonic stasis), resulting in a combination that emphasizes the stronger of the two (e.g. a pastorally-inflected march). The second category, the one Hatten considers the "stronger" of the two, is the "speculative model," which features two elements that both "move by way of their interaction to a higher interpretation."[12] The topical interactions formed by two elements in the speculative model involve more explanation than those of the attribution model, given the "greater contradiction between the two [elements] (active vs. passive), and a greater cognitive task in accommodating the two to a larger significance."[13] On one hand, tropes formed by the attribution model are essentially asymmetrical, in that one element is understood as more important than the other. On the other, tropes formed by the speculative model are more or less symmetrical, requiring detailed interpretation in order to better understand the interaction and expressive meaning formed by disparate elements.

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[10] Ibid., 170. As Hatten points out, "The pastoral topic is the governing expressive genre (isotopy) of the sonata as a whole, and the heroic and learned topics have already appeared in the second movement."

[11] Ibid., 169.

[12] Ibid.

[13] Ibid., 171.

In his recent article in the *Oxford Handbook of Topic Theory*, Hatten refines many of these ideas, expanding his earlier distinctions to four axes or "dimensions along which an imported topic and its potential tropological interaction may be marked with respect to its new environment."[14] The first axis is the degree of compatibility, for which Hatten refers to Umberto Eco's distinction between *ratio facilis* for cases in which the combination of topics is not particularly striking, and *ratio difficilis* for more unique combinations. Less compatible tropes are usually more salient to the listener, given that the incompatibility of the two topics often generates a more striking synthesis, leading tropes of this nature to stand out as more distinctive elements in a musical passage. On the other hand, while highly compatible tropes may not stand out as prominently in the musical discourse, the elements used to create these tropes still tend to play an important role in the listener's interpretation of the stylistic and expressive associations of the musical passage in question.

Hatten's second axis looks at the degree of dominance, or the extent to which one topic is heard more prominently than another. This axis is essentially a refinement of his earlier attribution and speculative models, the former corresponding to a lower degree of dominance (one merely inflects the other), the latter to a higher degree of dominance (equal contribution whose interaction is more metaphorical). Hatten discusses four factors that can be used to determine the "potential for a topic to be dominant…, including its *hierarchical weight* (and extension) in the style, its *temporal precedence* in the discourse, its *parametric density* (how many musical parameters are controlled by the topic), and – related to density – its *completeness* (as opposed to mere allusiveness)

[14] Robert S. Hatten, "The Troping of Topics in Mozart's Instrumental Works," in *The Oxford Handbook of Topic Theory*, ed. Danuta Mirka (New York: Oxford University Press, 2014), 515.

and/or *prototypicality*."[15]

The third axis Hatten introduces is the degree of creativity, which analyzes the frequency with which a particular combination has been used in a style. Tropes that have been used more often have a low degree of creativity and may not stand out as much to the listener, given that they have previously been heard several times. On the other hand, tropes that have not been used as commonly will have a high degree of creativity and likely sound more striking to the listener, given their less frequent use. This axis is closely related to the compatibility axis, but has a broader scope in that it looks to the historical and stylistic frequency with which a certain trope has appeared previously, rather than a specific context in the work itself.

The fourth and final axis measures the degree of productivity, which examines the frequency with which a particular trope appears in a specific musical passage, movement, or work. Tropes that are less productive appear less often and thus have the potential to sound distinct in a musical passage given the uniqueness of the combination in comparison to the other surrounding tropes. Highly productive tropes, however, can shape the discourse of the movement as a whole, in that these combinations are heard multiple times throughout the work. Productive tropes are not simply repeated topical combinations, but often vary throughout the composition, giving the listener a sense of growth and development as the work progresses.

Each of these four axes examines related, albeit distinct components of tropological formations (see figure 2–1). The compatibility and creativity axes focus on the musical and stylistic associations of a trope's component topics. While the former

[15] Ibid., 519.

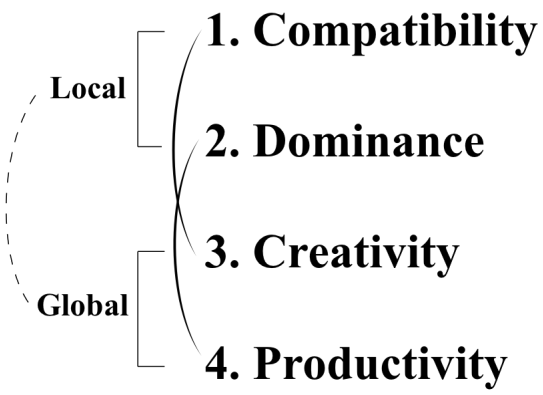


*Figure 2–1: Interactions of Hatten's four tropological axes*

analyzes how these elements interact on the musical surface, the latter uses a broader scope to think about their interaction within the larger historical and stylistic contexts in which the music was written. The dominance and productivity axes, on the other hand, concentrate on how these same elements are utilized in the music itself. While the former examines how each topic's attributes interact in a specific musical location, the latter tracks these interactions over the course of the work. When utilizing these axes as an analytical tool, my process typically begins with the more local compatibility or dominance axes, interpreting how the features of several topics blend together and which topic is heard more prominently. The creativity and productivity axes then come into play, the former as a consideration of how frequently a particular trope has been used in a given style, the latter as an analysis of the progression of a trope throughout a piece of music. Moreover, the local and global levels are in a dialectical relationship in which discoveries on one level can influence interpretations at another, and vice versa. Given that each trope is unique, however, the listener may pick up on these axes in a different order; as an analytical tool, a reading of a passage may highlight one axis over another. In other words, the precise order and precedence with which these four axes are used is not

of the utmost importance, as long as the local and global characteristics of each trope are acknowledged.

Despite the fact that Hatten's four axes were conceived for music of the eighteenth century (specifically Mozart's instrumental works), many of his ideas can be applied to Stravinsky's neoclassical oeuvre. The primary issues involved in applying his theories pertain to the differences in Stravinsky's neoclassical syntax from that of the Classical period, rather than any major changes to the theory itself. However, the issue of combining multiple topics in a single location is further complicated in Stravinsky's music in that he draws on topics and styles from multiple historical and stylistic periods, increasing the potential for unique combinations and creating new realms of musical meaning. As Kofi Agawu points out, Stravinsky's aesthetic often results in a kind of aesthetic play with common tonal stylistic trends.[16] Thus, when using these tools for Stravinsky's music, we often have to consider these elements both in their original historical context and the new musical context in which they are written.

Stravinsky's tropes draw on topics from a wide variety of sources, corresponding closely to Martha Hyde's description of "eclectic imitation," which "treats the musical past as an undifferentiated stockpile to be drawn on at will."[17] This selection of topics from both past and current musical styles results in a wide range of compatibility in Stravinsky's tropes. Musical parameters corresponding to the dominance axis can be used to either highlight or mask this degree of compatibility, covering a spectrum of striking and subtle combinations on the musical surface that impact the listener's interpretation of

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[16] Kofi Agawu, *Music as Discourse: Semiotic Adventures in Romantic Music* (New York: Oxford University Press, 2009), 49.

[17] Martha M. Hyde, "Neoclassic and Anachronistic Impulses in Twentieth-Century Music," *Music Theory Spectrum* 18, No. 2 (Autumn, 1996), 211.

the music's stylistic and expressive associations. On a global level, the creativity of these tropes often helps the listener better interpret the uniqueness of the expression in an intertextual manner, referencing other instances in which particular tropes have been heard in Stravinsky's music.[18] The productivity axis determines how often a trope is used in a work, but should also be examined along with information gathered from the other axes in order to gauge the manner in which topics are combined, how these combinations change throughout the composition, and how these changes affect the listener's interpretation of the music's expressive meaning.

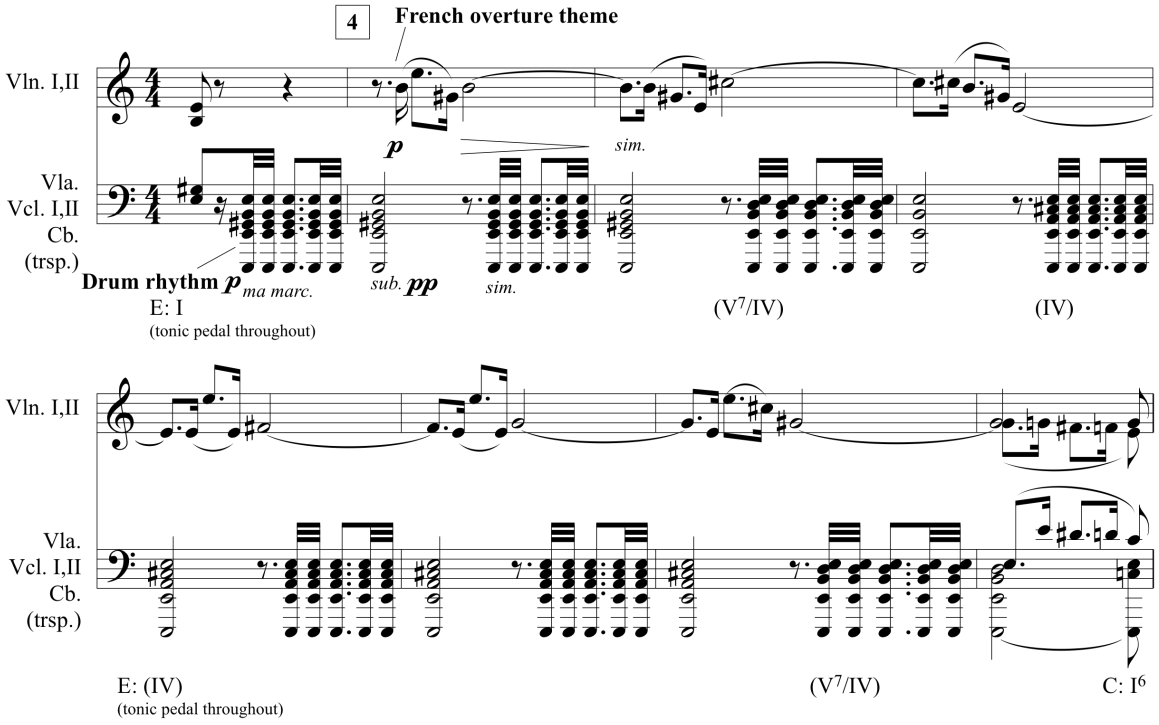
In the four works discussed in this chapter – *Sérénade en la*, Mvt. I "Hymn" (1925), *Apollon musagète* (1928), *Violin Concerto*, Mvt. I (1931), *Concerto for Two Pianos*, Mvt. I (1932–35) – one topic is used most prominently throughout (hymn, French overture, pastoral, and *tempesta*, respectively), while one or more topics are troped with it in order to create different expressive combinations. Given that all four of these axes interact in different ways in each of Stravinsky's compositions, a detailed examination of each axis will make more apparent some of the ways in which the composer uses topics and tropes in his neoclassical music. In some cases, however, it will be necessary to examine elements corresponding to axes other than the one in question in order to better contextualize the analytical discoveries made at each point in the discussion.

[18] Given the wide variety of sources that Stravinsky uses for his tropes, and in order to keep the discussion focused, this dissertation will focus only on other instances in which Stravinsky has used similar configurations.

## 1. Compatibility

The compatibility axis examines the interactions between topics that make up a particular trope, which in turn determines the degree of conflict on the musical surface. For example, tropes that feature highly compatible topics (*ratio facilis*) will likely sound less conflicted than tropes made up of unrelated topics (*ratio difficilis*). The degree of compatibility may be made more or less prominent depending on Stravinsky's use of musical parameters controlled by the dominance axis, which also affects the listener's perception of the trope on the local level. However, interpreting the relationships of each topic's associations may shed light on the expressive role certain topics play in a given context. A trope of highly compatible elements is illustrated in Stravinsky's ballet *Apollon musagète*. Following the introduction, the work's first theme appears at R. 4 (see example 2–1). This theme's melody, played by the violins, evokes the French overture topic through its primarily triadic outline and use of regal dotted rhythms. The lower strings (violas, cellos, contrabasses), on the other hand, evoke the military topic, playing an accompaniment pattern of repeated 32$^{nd}$ notes mimicking a drum rhythm, the percussive quality of which is further supported by the use of the E pedal in the lower strings and the low tessitura in which this pattern is written.

*Apollon musagète* tells the story of the Greek god Apollo. Beginning with his birth, most of the ballet depicts his interaction with three of the nine muses, Calliope (poetry), Polymnie (mime), and Terpsichore (dance), who each demonstrate their respective arts. The ballet then concludes with Apollo leading the three muses to their new home on Mount Parnassus. The French overture topic is one of the most important topics used throughout this ballet, as Charles M. Joseph points out: "undoubtedly, the




*Example 2–1:* Apollon musagète*, R. 4*

dotted rhythms permeating *Apollo*, from the French overture-like Prologue to the concluding Apothéose, were intended as explicit references to the court of Louis XIV."[19] Stravinsky himself admits this relationship, stating that "*Apollo* is a tribute to the French seventeenth century."[20] Leonard G. Ratner further discusses the historical basis of the French overture topic: "In the courts and theaters of France under Louis XIV it accompanied the entrance of the royal spectators and the performers. Later it was adopted throughout Europe as the opening piece for many theatrical performances, for

[19] Charles M. Joseph, *Stravinsky and Balanchine: A Journey of Invention* (New Haven, CT: Yale University Press, 2002), 99. Maureen A. Carr (2002: 101) also discusses the importance of these dotted rhythms, focusing on Stravinsky's use of versification, specifically iambic rhythms and alexandrine models, as a compositional tool: "But, what has never been discussed is how the alexandrine might be used as a model for analyzing a twelve-syllable line in iambic patterns within Stravinsky's earliest compositional sketches for *Apollo*."

[20] Igor Stravinsky and Robert Craft, *Dialogues* (Berkeley, CA: University of California Press, 1982), 34.

instrumental suites, and for some symphonies, when the occasion called for a serious, elevated tone."[21]

Regarding the associations conveyed by the accompaniment pattern, as Raymond Monelle points out, "the signification of [the military] topic seems euphoric, manly, heroic, adventurous, evocative of noble deeds and reckless courage."[22] In *Apollon musagète*, the troping of the fanfare pattern with the French overture melody – which calls to mind "majestic, heroic, festive and pompous" characteristics[23] – here serves to evoke a ceremonious atmosphere, projecting Apollo's bold, virtuous temperament, corresponding to the fact that his character is a god. The high level of compatibility between the French overture and military topics thus conveys similar expressive content, projecting a strong sense of dignified nobility and ceremony to establish the ballet's primary character in the beginning of the work.

An example of less compatible elements occurs with the trope of hymn and *ombra* topics in the first movement of Stravinsky's *Sérénade en la*, "Hymn" (see example 2–2). The piano's left hand creates a texture calling to mind the *ombra* topic, given its chromaticism, dissonance, registral span, and declamatory style. In particular when compared with the tranquil music predominantly characterized by the hymn topic that follows this introduction (mm. 1–19), the opening measures sound like the "sudden 'sforzando' shocks in an otherwise 'piano' and muted uneasiness" discussed by

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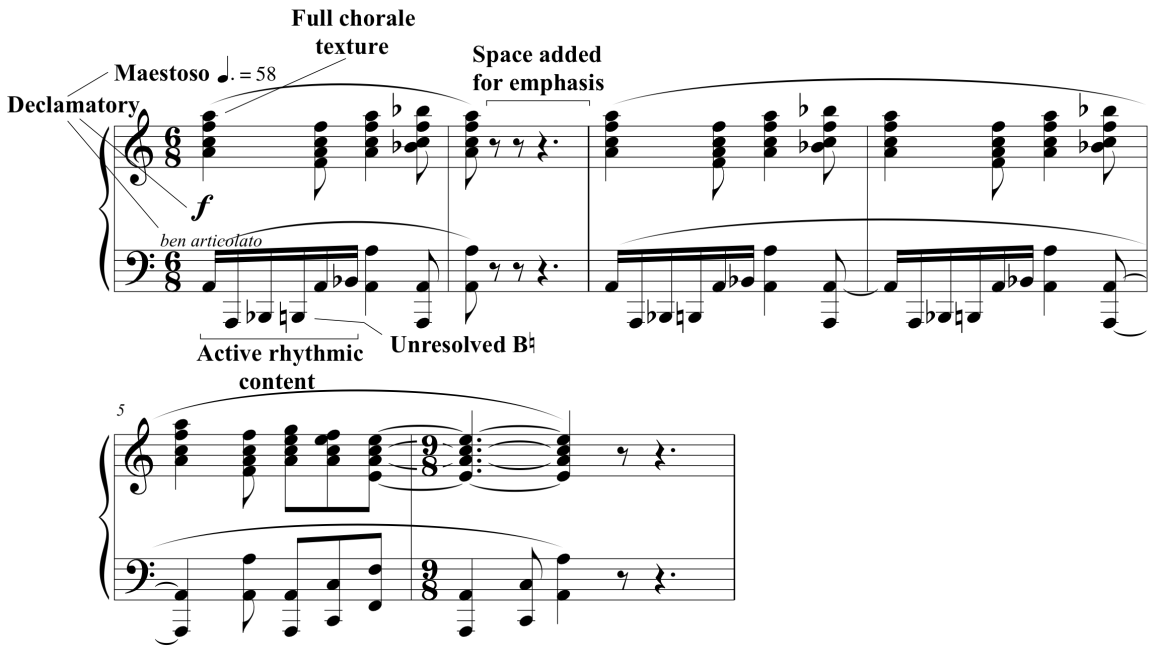
[21] Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer Books, 1980), 20.

[22] Raymond Monelle, *The Musical Topic: Hunt, Military and Pastoral* (Bloomington, IN: Indiana University Press, 2006), 142.

[23] George Gow Waterman and James R. Anthony, "French overture," *Grove Music Online*, *Oxford Music Online*, Oxford University Press, accessed March 13, 2015, http://www.oxfordmusiconline.com.ezproxy.lib.utexas.edu/subscriber/article/grove/music/10210.




*Example 2–2:* Sérénade en la*, Mvt. I, mm. 1–6*

Allanbrook.[24] These characteristics are embodied in the piano's left hand both rhythmically through the use of sixteenth notes on the first beat of the measure, the gestural quality of the leaps covering a three-octave span, and the chromaticism of Bb/B♮. This topical formation is further enhanced through the *forte* dynamic and *ben articolato* expressive marking coupled with the left hand's chromaticism, low tessitura, and wide registral span. In contrast, the piano's right hand utilizes a full triadic, chordal texture, major mode, and harmonic and rhythmic simplicity, all of which evoke the serene, "transcendent spirituality" corresponding to the hymn topic.[25] However, the music at this point does not convey the hymn topic in a straightforward manner, in that the *forte* dynamic and "maestoso" marking create a declamatory style that illustrates the

[24] Wye Jamison Allanbrook, *Rhythmic Gesture in Mozart:* Le Nozze di Figaro & Don Giovanni (Chicago, IL: University of Chicago Press, 1983), 198. Many of these characteristics are also discussed by Ratner (1980) and McClelland (2012/2014).

[25] Eric McKee, "The Topic of the Sacred Hymn in Beethoven's Instrumental Music," *College Music Symposium* 47 (2007), 27.

*ombra* topic's dominance at this point in the movement.

The hymn and *ombra* topics share in common a relation to church music, meaning that both topics project high stylistic associations.[26] For this reason they are potentially compatible; but expressively, while the hymn topic projects a calm, divine quality, the *ombra* topic is used to represent darker supernatural elements, or scenes of devastation and a "sense of awe and fear."[27] Thus, despite the fact that both the hymn and *ombra* topics project high stylistic associations, they convey different expressive content, creating stylistic contrast at the beginning of the movement. This lack of expressive compatibility is further heightened through the dominance of parameters corresponding to the *ombra* topic, creating a sense of foreboding at the work's opening.

An example of even more disparately related elements occurs in the first movement of Stravinsky's *Violin Concerto* with a trope of pastoral and march topics (see example 2–3). Edward T. Cone discusses the importance of a quintole pattern from Stravinsky's *Pastorale* (1907) to his evocation of the pastoral topic in the *Duo Concertante* (1931–2).[28] In the *Violin Concerto* this same figure is played by two trumpets, one starting on D, the other harmonized a third below on B (see example 2–4). This simple turn figure combined with static harmonization calls to mind the rustic simplicity of the pastoral topic, in that the melody is essentially a double neighbor

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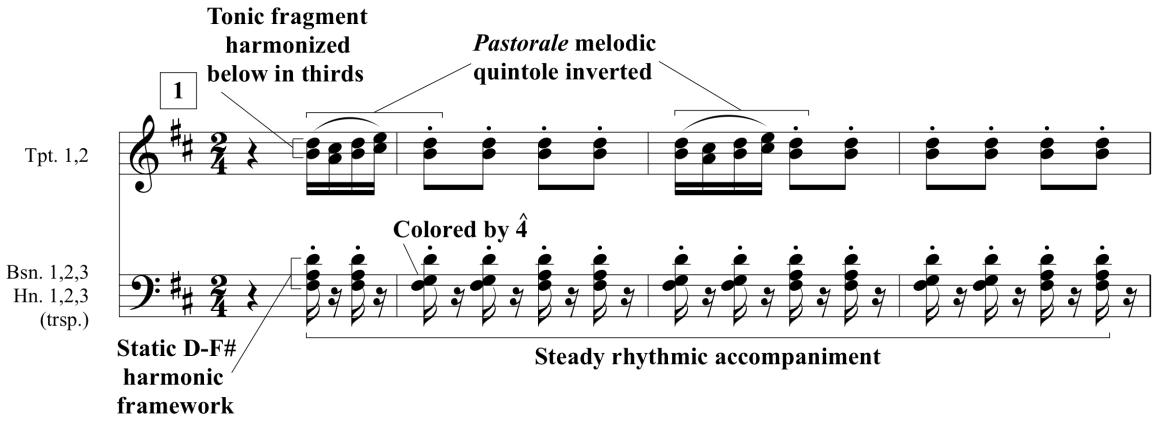
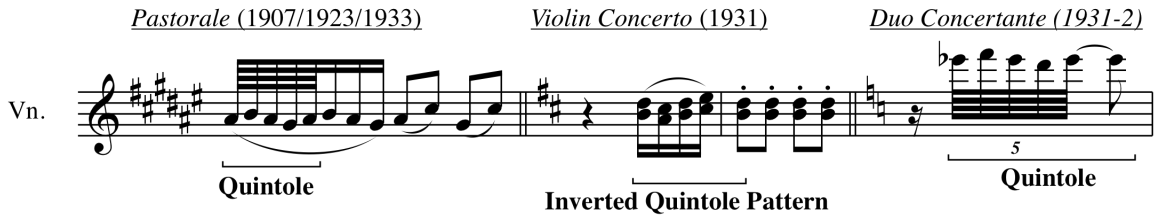
[26] As McClelland states, "Ceremonial music in a supernatural context derives from two sources: the martial (such as the French overture and the funeral march) and the ecclesiastical (including *stile antico* ideas such as *alla breve,* monophonic textures, and chanting)" (2014: 286). McClelland discusses the use of the *ombra* topic in sacred music in his chapter 7 (2012: 163–202), focusing on the topic's presence in oratorios, Masses, and Requiems, though he points out that the topic's background lies primarily in the theater (McClelland, 2012: 163).

[27] Clive McClelland, Ombra*: Supernatural Music in the Eighteenth Century* (Lanham, MD: Lexington Books, 2012), iv.

[28] Edward T. Cone, "Stravinsky's Version of Pastoral," in *Hearing and Knowing Music: The Unpublished Essays of Edward T. Cone*, ed. Robert P. Morgan (Princeton, NJ: Princeton University Press, 2009), 183.




*Example 2–3:* Violin Concerto*, Mvt. I, R. 1*




*Example 2–4: Stravinsky's quintole pattern as pastoral signifier*

elaboration of one pitch. The pastoral topic is also evoked in the bassoon and horn accompaniment, which is based on a D major triad in first inversion throughout. The fifth of the triad moves down by step to $\hat{4}$ and back every beat, providing color to the otherwise static harmony. However, while the pitch content of these measures calls to mind the pastoral topic, the steady rhythm reinforcing the 2/4 meter, staccato articulation, and use of trumpets correspond to the march topic.

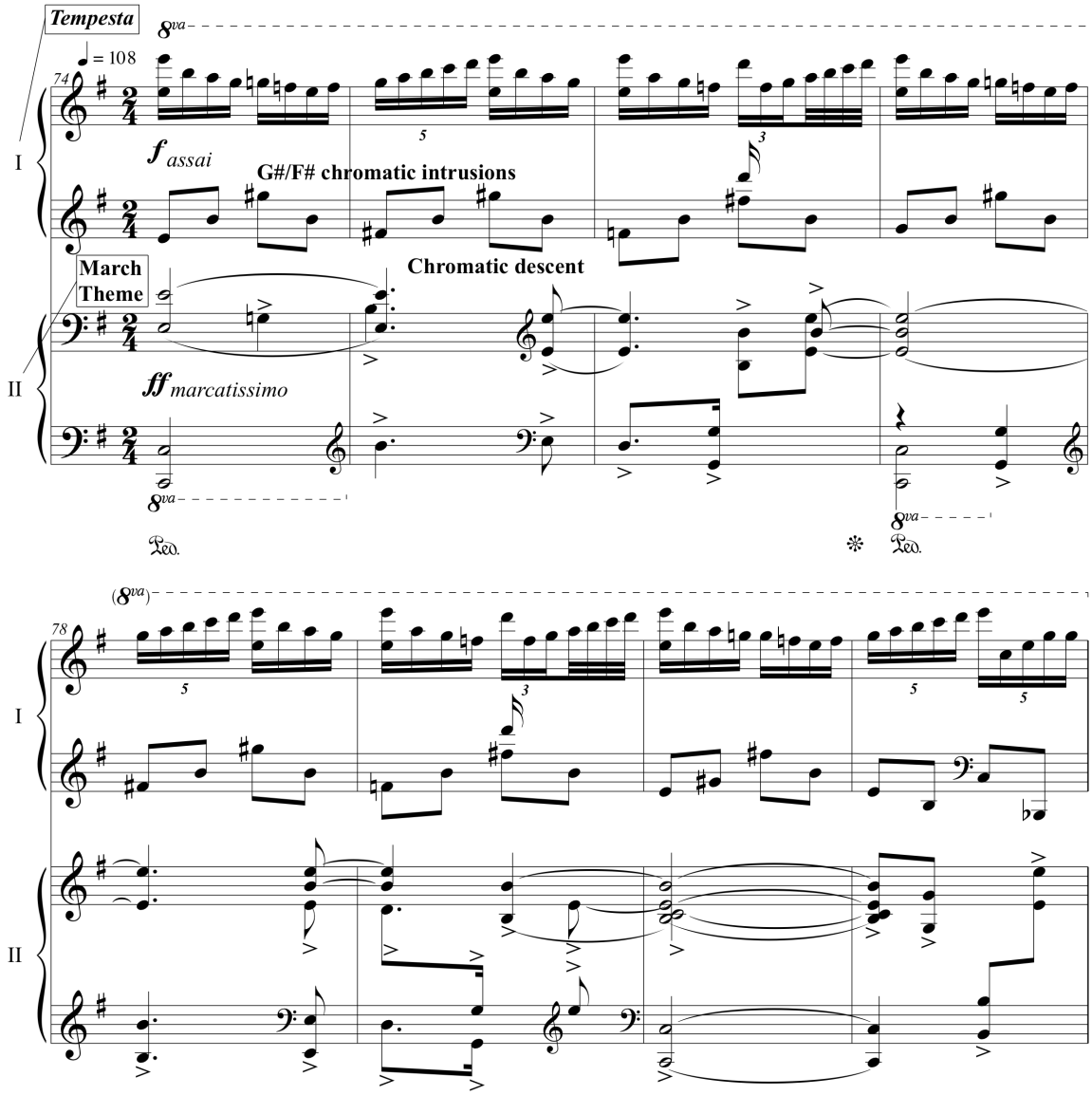
These topics are perhaps more incompatible, given that the march topic projects high stylistic associations while the pastoral topic conveys low stylistic associations

evoking a rustic state of "idealized simplicity."[29] In this example the pastoral topic is slightly dominant over the march topic, evidenced by the simple, stepwise *Pastorale* quintole as the primary melodic figure, and the use of diatonic, static harmonic accompaniment. However, the rhythm, articulation, and instrumentation corresponding to the march topic do play a role in the listener's interpretation of the associations in this passage. Despite their incompatibility, both topics combine to evoke a kind of rustic celebration: the prominence of the pastoral topic suggests the rustic location and low class associations evoked at the opening of the work, but the march topic elements suggest that some kind of festival is underway.

## 2. Dominance

The dominance axis determines which topic sounds more prominently at a given point on the musical surface, balancing the relationship between their stylistic associations and expressive states. If one topic is clearly more dominant than the other(s), we can understand the expressive associations of that topic to preside over the musical discourse, with the associations of the other topic(s) having a slight influence on our interpretation. Analyzing the precise nature of this hierarchical relationship between topics is a crucial step in interpreting how these elements work together to produce a unique expressive meaning. The climax of Stravinsky's *Concerto for Two Pianos*, Mvt. I (mm. 74–81) is an example of a trope in which the *tempesta* and brilliant style elements are dominant over the march theme, as they have been for most of the movement up to this point (see example 2–5). In m. 74, piano II plays the E minor march from the main theme in the

[29] Raymond Monelle, *The Musical Topic*, 220.




*Example 2–5:* Concerto for Two Pianos*, Mvt. I, mm. 74–81*

instrument's lower register, doubled in octaves, accented, and performed *fortissimo marcatissimo*, the loudest dynamic level at which this theme has been played in the movement. Though the melody itself is written in the E Phrygian mode, piano II's left hand emphasizes octave Cs every three measures in the lowest register of the instrument, coloring the melody in a new, more dissonant manner (in particular given that the upper

fifth of the E minor triad now sounds as a major seventh to the new C bass note). These forceful, dissonant elements are components of the *tempesta* topic, illustrating the dominance that this topic's characteristics have over the march theme.

On the other hand, piano I plays in a higher register than piano II, in particular the right hand which is four octaves above piano II's march melody, creating the widest registral span heard in the work thus far, corresponding to the *tempesta* topic. Piano I's right hand also evokes the heightened expressive tension projected by this topic through its driving rhythms, composed mostly of E Phrygian scalar patterns in groupings of sixteenth notes, quintuplets, triplet sixteenth notes, and thirty-second notes. Piano I's left hand plays steady eighth notes, evoking this restlessness through its pitch rather than rhythmic content. Most of the pitch content belongs to the E Phrygian collection, but the E/F, F♮/F#, F#/G♮ and G♮/G# conflicts in piano I's left hand create a multimodal color and provide the chromatic elements associated with the *tempesta* topic. The chromaticism of piano I's left hand coupled with the high register and heightened rhythmic activity of piano I's right hand create a sense of expressive tension, evoking the unstable nature of the *tempesta* topic and brilliant style.

This trope of *tempesta*, brilliant, and march topics at m. 74 represents the exposition section's climactic moment, illustrating the highest point of tension in the movement thus far. Given that piano I strongly evokes the *tempesta* topic and brilliant style, while piano II emphasizes the march topic inflected with *tempesta* components, the *tempesta* topic is foregrounded more than the others. Measure 74 presents an intense musical climax in which the anxiety that has been building throughout the movement reaches its most heightened level, conveying an anguished expressive state corresponding

to the dominant *tempesta* topic.[30]

Measures 18–27 in the first movement of the *Concerto for Two Pianos* provide a brief contrast to these darker associations heard throughout the movement, introducing a trope of pastoral, march, and brilliant topics in an A Mixolydian tonal center in which the former is dominant (see example 2–6). The marking *forte marciale* at the beginning of this phrase and the use of dotted rhythms throughout these measures suggest the continuation of the march topic, but the stepwise melodic pattern, new tonal center, and *subito piano* marking in m. 20 strongly evoke the pastoral topic. The use of soft, stepwise trills creates a florid texture that also contributes to the pastoral topic's dominance over the march topic in these measures.

Considering this change to the dominant pastoral topic in the midst of the *tempesta* topic that characterizes much of the exposition, this brief section can be interpreted as an attempt to retreat to a state of "idealized simplicity"[31] or an undisturbed imaginary space. The use of the pastoral topic in a dominant role creates a mirage amidst the disquiet captured in the surrounding phrases. And, like a mirage, this pastoral-dominated trope proves to be merely an illusion, as the following section returns to the movement's anxiety-filled trope of *tempesta*, brilliant, and march topics.

Another blend of pastoral, march, and *tempesta* topics can be found in the first movement of Stravinsky's *Violin Concerto* (see example 2–7). Flutes 1 and 2 play the movement's pastoral theme first introduced at R. 1, which is still harmonized in thirds

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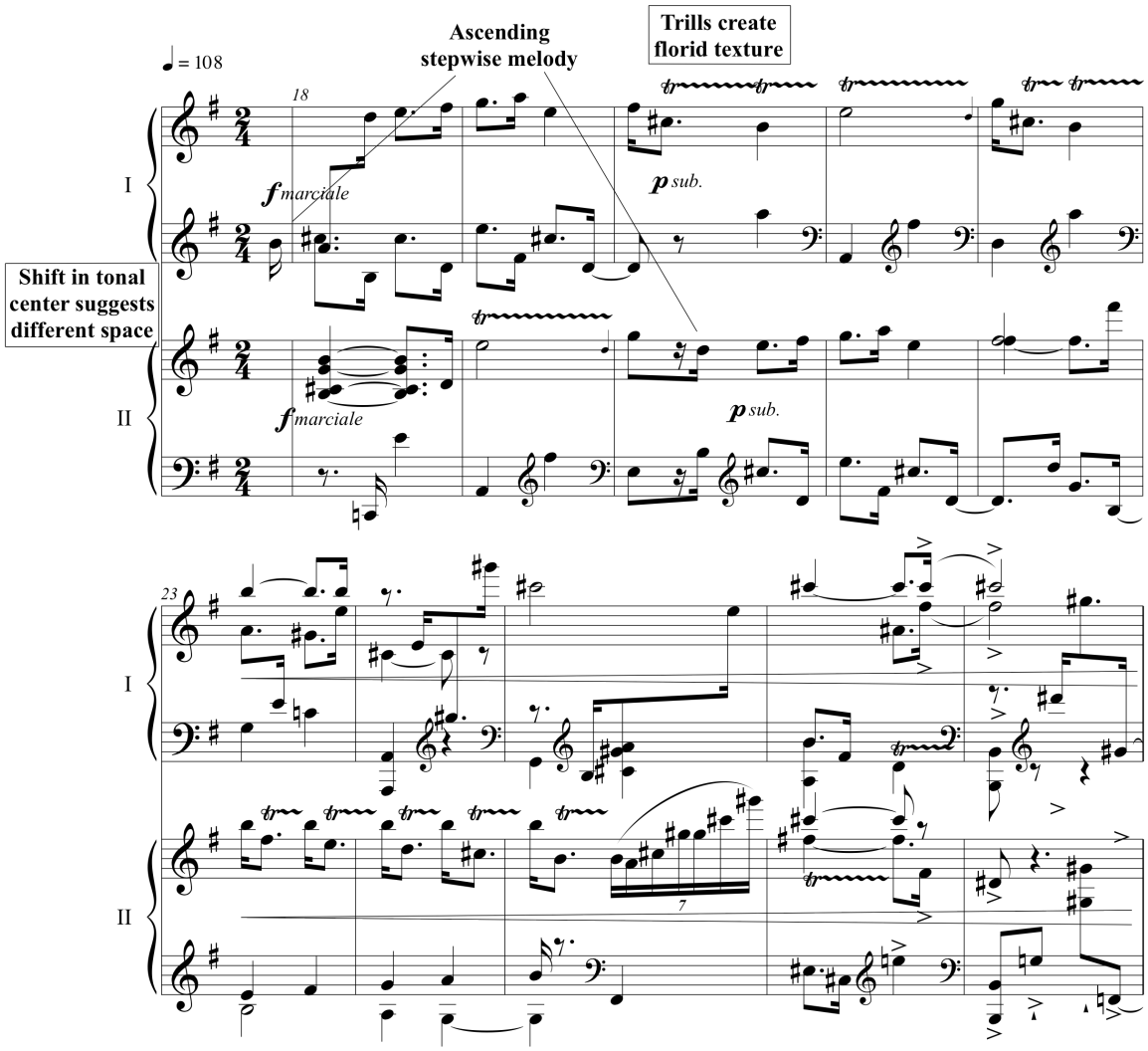
[30] Clive McClelland, Ombra*: Supernatural Music in the Eighteenth Century*, iv. McClelland states that "scenes of devastation involve characteristics that have come to be associated with *Sturm und Drang* [*tempesta*], namely, fast tempo, minor keys, disjunct motion, rapid scale passages, dissonances, chromaticism, irregular rhythms, loud dynamics, and full orchestral textures often involving brass and timpani. This style is also used in infernal scenes when depictions of anger, pursuit, or conflagrations are needed, and at least some of these features would also apply to mad scenes."

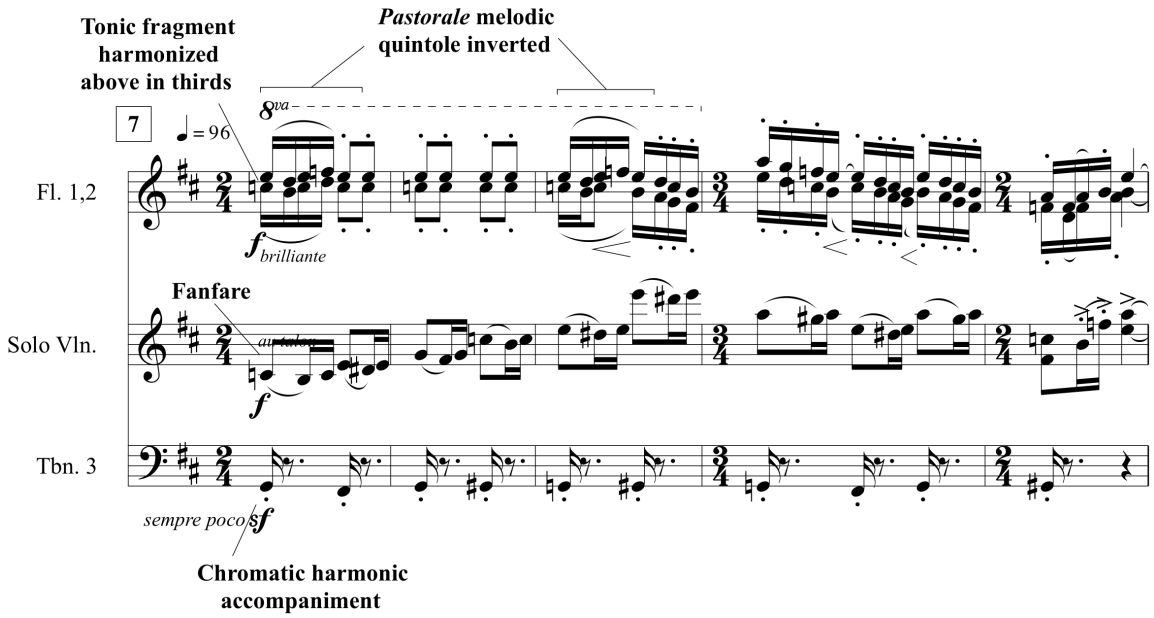
[31] Raymond Monelle, *The Musical Topic*, 220.




*Example 2–6:* Concerto for Two Pianos*, Mvt. I, mm. 18–27*

(albeit with the harmonized voice written a third above the *Pastorale* quintole), evoking the low stylistic associations of the pastoral topic. However, while flutes can be associated with the pastoral – connected with shepherds' reed pipes or flutes[32] – they can also be connected to the march topic, as they are related to fifes, which comes through in

[32] Geoffrey Chew and Owen Jander, "Pastoral," *Grove Music Online*, *Oxford Music Online*, Oxford University Press, accessed March 13, 2015, http://www.oxfordmusiconline.com.ezproxy.lib.utexas.edu/subscriber/ article/grove/music/40091.




*Example 2–7:* Violin Concerto*, Mvt. I, R. 7*

the high register in which this passage is written.[33] Thus while this thematic fragment is related to the *Pastorale* theme used in the more pastoral-dominated sections heard earlier in the movement, this choice of instrumentation can be thought of as a bridge between march and pastoral topics, suggesting that the march topic has a more important role in this phrase than it did previously.

The solo violin also alludes to the march topic at R. 7, with its upward arpeggiation through the C major triad calling to mind a fanfare gesture. However, the use of lower chromatic neighbors for every note of the fanfare lowers the high stylistic associations of the march topic by adding a comical, *buffa* element to the musical discourse. These *buffa* characteristics are further confirmed in the third measure where the triadic arpeggiation is disrupted by an octave leap on E, after which the arpeggiation

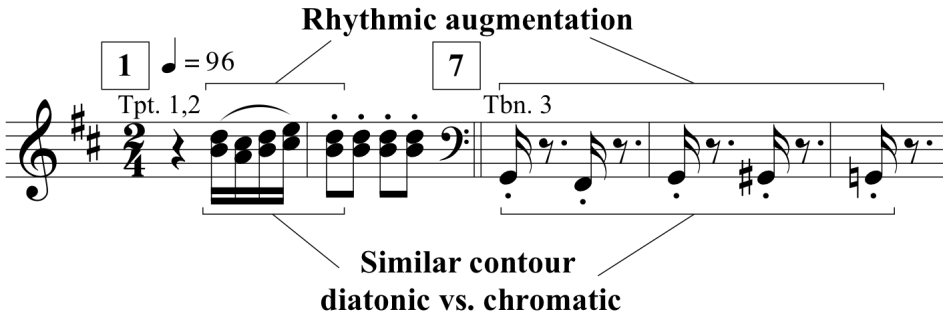
[33] Erich Schwandt and Andrew Lamb, "March," *Grove Music Online*, *Oxford Music Online*, Oxford University Press, accessed March 13, 2015, http://www.oxfordmusiconline.com.ezproxy.lib.utexas.edu/subscriber/ article/grove/music/40080.

changes to an alternation of A and E. This break in the otherwise normative fanfare pattern creates a playful quality that lowers the march topic's high stylistic associations. The instrumentation also obscures this fanfare, in that strings are not historically associated with the march topic. The use of the solo violin thus lowers the fanfare's high stylistic associations, allowing this voice to blend more easily with the pastoral elements in this passage.

On the other hand, trombone 3 evokes the *tempesta* topic through its instrumentation, along with its chromatic alteration and rhythmic augmentation of the *Pastorale* fragment (see example 2–8).[34] This accompaniment pattern also keeps the rhythmic regularity of the march topic, but the chromatically altered version of the pastoral theme performed by the trombone, especially in a much lower register, evokes an unsettled expressive state connected with the *tempesta* topic. Furthermore, if we consider C major as the tonal center underlying this phrase, we can interpret the use of G as an allusion to second- rather than first-inversion triads (like those used in the D major pastoral music at R. 1), creating a more unstable sound than that with which the original pastoral fragment was heard. The fact that these dissonances occur on the strong beat in each measure, as opposed to the violin's weak-beat dissonances, presents a more ominous quality in the trombone's music.

The stylistic associations of the pastoral, march, and *tempesta* topics thus blend together at R. 7. While the combination of pastoral and march characteristics expressed rustic simplicity combined with a sense of ceremony at R. 1, the march elements are more prominent at R. 7, creating a higher stylistic character. However, the solo violin's *buffa* elements lower these high stylistic associations and evoke a more lighthearted

[34] Clive McClelland (2012: 3) discusses the trombone as a possible signifier of the *ombra* topic.




*Example 2–8: Comparison of diatonic vs. chromatic* Pastorale *quintole pattern at R. 1 and 7 in* Violin Concerto*, Mvt. I*

expressive state. Furthermore, though much of this music sounds playful, the trombone's evocation of the *tempesta* topic creates a sense of foreboding, particularly since this is the first time that this topic has been used in this piece. Considered together, the stylistic and expressive associations of all three topics work together to create a complex expressive state, one in which lively rustic simplicity and a sense of ceremony are tinged with unease, foreshadowing darker musical and expressive elements to come later in the movement.

## 3. Creativity

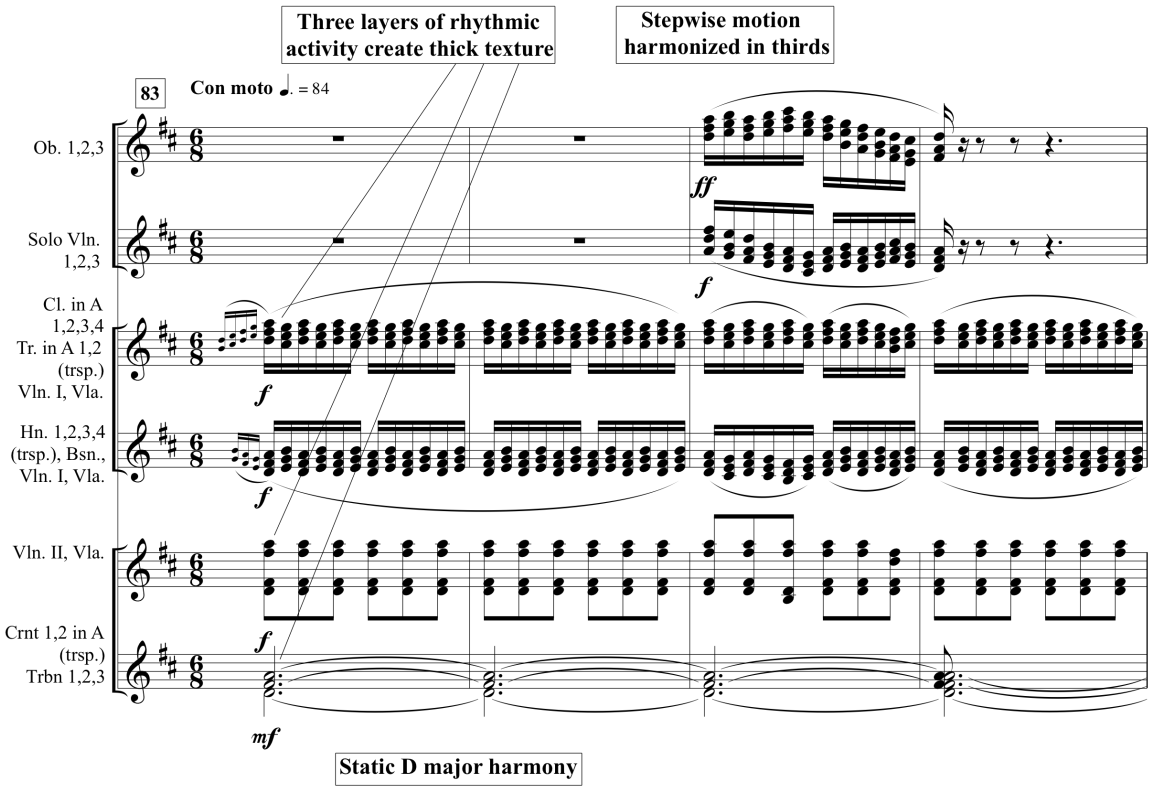
The creativity axis measures the frequency with which a particular trope has previously been used in a given style, in turn measuring how unique the combination of certain topics might sound in a specific musical context. While a trope may be used to draw on common expressive associations familiar to the listener, a creative combination may be used for a more unique expression. However, given the wide variety of sources that Stravinsky draws upon for his tropes, this section will focus on instances of tropological recurrence in the composer's oeuvre. Specifically, two topics commonly heard in

Stravinsky's works – march and hymn – are used in progressively more distinctive and thus creative tropes involving each of these figures. Viewing the recurrence of these tropes along the creativity axis illustrates how Stravinsky draws deeper, more meaningful expressive formations from similar topical components.

The march topic is perhaps one of the most frequently utilized figures in Stravinsky's compositions, as found in piano works such as the *Trois pieces faciles* (1914–5) and the *Souvenir d'une march boche* (1915) as well as dramatic works like the opening of *Renard* (1915–6) and *L'Histoire du soldat* (1918). Despite the fact that this topic evokes high stylistic associations, many of these marches also incorporate low stylistic elements, such as the use of dissonant harmonies and rhythmic distortion of the march topic's metric characteristics (discussed in chapter 3). The trope of march and pastoral topics in the first movement of the *Violin Concerto*, however, is distinct from other marches in Stravinsky's works, given the prominence of characteristics corresponding to the pastoral topic (see example 2–3). Though the rhythmic texture, steady march tempo, and staccato articulation all correspond to the march topic, the simple orchestration (one octave and one type of articulation on the same D major triad), static diatonic harmony, and *Pastorale* quintole melody create a lighter texture than that used in many of Stravinsky's other marches.

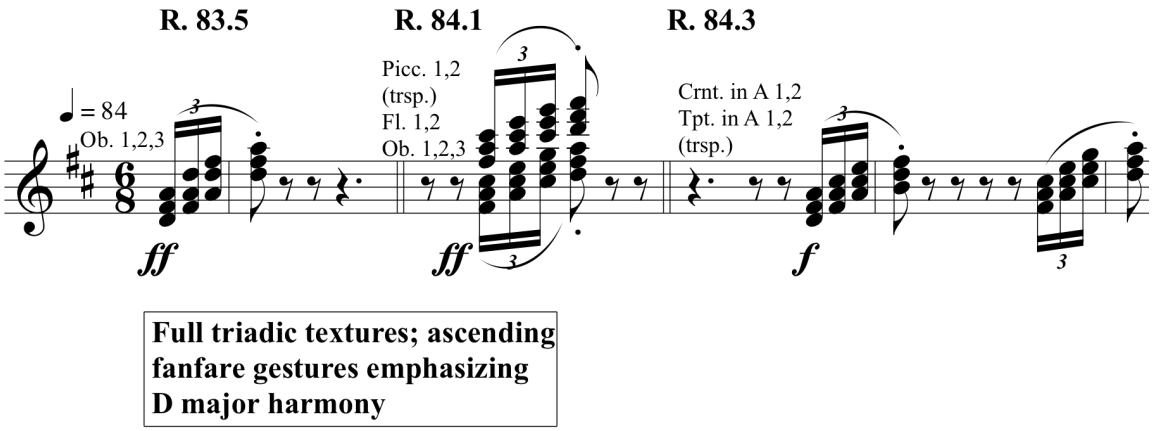
A close relation to the opening of the *Violin Concerto* is the trope of pastoral, military fanfare, and brilliant styles used to represent The Shrovetide Fair at the beginning of the fourth tableau in *Petrushka* (1911) (see example 2–9).[35] Despite the similar tonal center and tropological formation in these two works, *Petrushka*'s increased

[35] While a similar formation is also used at the beginning of the first tableau in *Petrushka*, the beginning of the fourth tableau bears a closer resemblance to the opening of the *Violin Concerto*.




*Example 2–9:* Petrushka*, Tableau IV, R. 83*

rhythmic texture, tempo, smoother articulation, and thicker orchestration (two octaves and three different types of rhythmic value and articulation on the same D major triad) create a denser, more active texture evoking the fair scene in St. Petersburg's Admiralty Square. The ascending triadic fanfare gestures in *Petrushka*, employed first by woodwind instruments (another trope of pastoral and military topics) then by cornets and trumpets, evoke a festive quality corresponding to the exuberant spectacle of The Shrovetide Fair (see example 2–10). While both fanfare and march topics indicate high stylistic associations, the fanfare gestures in *Petrushka* simply inflect the predominantly pastoral texture, in particular given that the fanfare does not exert control over the rhythm and meter in this passage to the same extent that the march does in the *Violin Concerto*. Thus,




*Example 2–10: Fanfare gestures in* Petrushka*, Tableau IV*

the tropological configuration of march and pastoral topics in the opening measures of the *Violin Concerto* has a notable precursor in *Petrushka*. Comparing Stravinsky's use of this similar trope in these two works along the creativity axis indicates that both evoke a celebratory atmosphere, but the thicker texture in *Petrushka* suggests the urban environment of Admiralty Square, while the lighter texture in the *Violin Concerto* implies a more rural setting.

The hymn topic is another figure that Stravinsky used with some regularity, such as the second tableau of *L'Oiseau de feu* (1909–10), and the "Petit Chorale" and "Grand Chorale" of *L'Histoire du soldat*. Moreover, the *ombra* topic is troped with the hymn topic in many compositions throughout Stravinsky's oeuvre, such as the "Hymn" movement of *Sérénade en la* (see example 2–2) and the opening of the *Concerto for Piano and Winds* (1923–4) (discussed in chapter 4). However, the final chorale in *Symphonies d'instruments à vent* (1920) stands out as a unique example of a hymn topic given that it was originally written to commemorate the death of Claude Debussy (see

example 2–11).[36] This fragment uses a chorale texture and ends with a melodic ascent to a high register conveying the transcendence of the hymn topic. But, the dissonant sonorities of the repeated opening chord (G major over a D diminished triad) and the frequent use of rests convey an unsettled expressive state connected to the *ombra* topic. This tropological combination is fitting if we keep in mind Richard Taruskin's description of the work as an evocation of the *panikhida* (The Russian Orthodox office of the dead).[37] Given the religious associations of both the hymn and *ombra* topics, and the connection of the latter to funeral ceremonies, the combination of these topics functions appropriately as a tombeau for Claude Debussy.[38]

Another example of the trope of hymn and *ombra* topics occurs at the end of the introduction in *Apollon musagète*, which adds the French overture topic to this tropological configuration (see example 2–12). Stravinsky's use of the French overture topic throughout *Apollon musagète* is in itself rather unique, given that he does not utilize such clear references to the French overture topic elsewhere in his oeuvre.[39] The final phrase in *Apollon musagète* is similar to the chorale in *Symphonies* in that they both begin with chromatic, dissonant sonorities, many of which use similar octave-third

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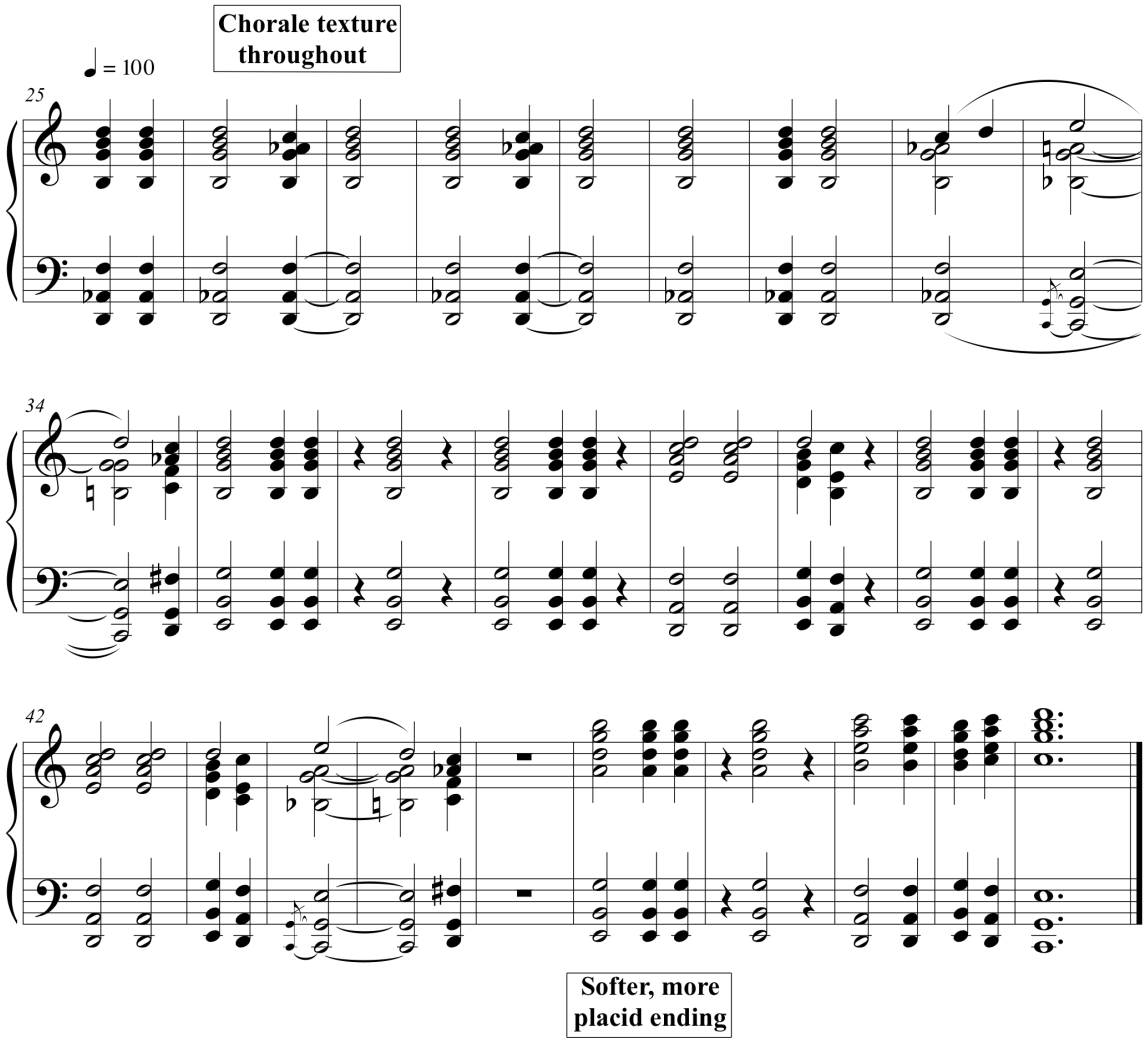
[36] This chorale was originally written for piano as part of a musical supplement for the second edition of the monthly music journal *La Revue Musicale* titled *Le Tombeau de Claude Debussy*. The musicologist Henry Prunières started this journal in 1920, and in this second edition he commissioned ten compositions from different composers written to commemorate Debussy who passed away two years earlier in 1918. For a detailed discussion of *Le Tombeau de Claude Debussy*, see Wheeldon, 2009: 114–142.

[37] Richard Taruskin, *Stravinsky and the Russian Traditions: A Biography of the Works Through* Mavra (Berkeley, CA: University of California Press, 1996), 1486–93.

[38] Clive McClelland, "*Ombra* and *Tempesta*," in *The Oxford Handbook of Topic Theory*, ed. Danuta Mirka (New York: Oxford University Press, 2014), 286. As McClelland states, "Ceremonial music in a supernatural context derives from two sources: the martial (such as the French overture and the funeral march) and the ecclesiastical (including *stile antico* ideas such as *alla breve,* monophonic textures, and chanting)."

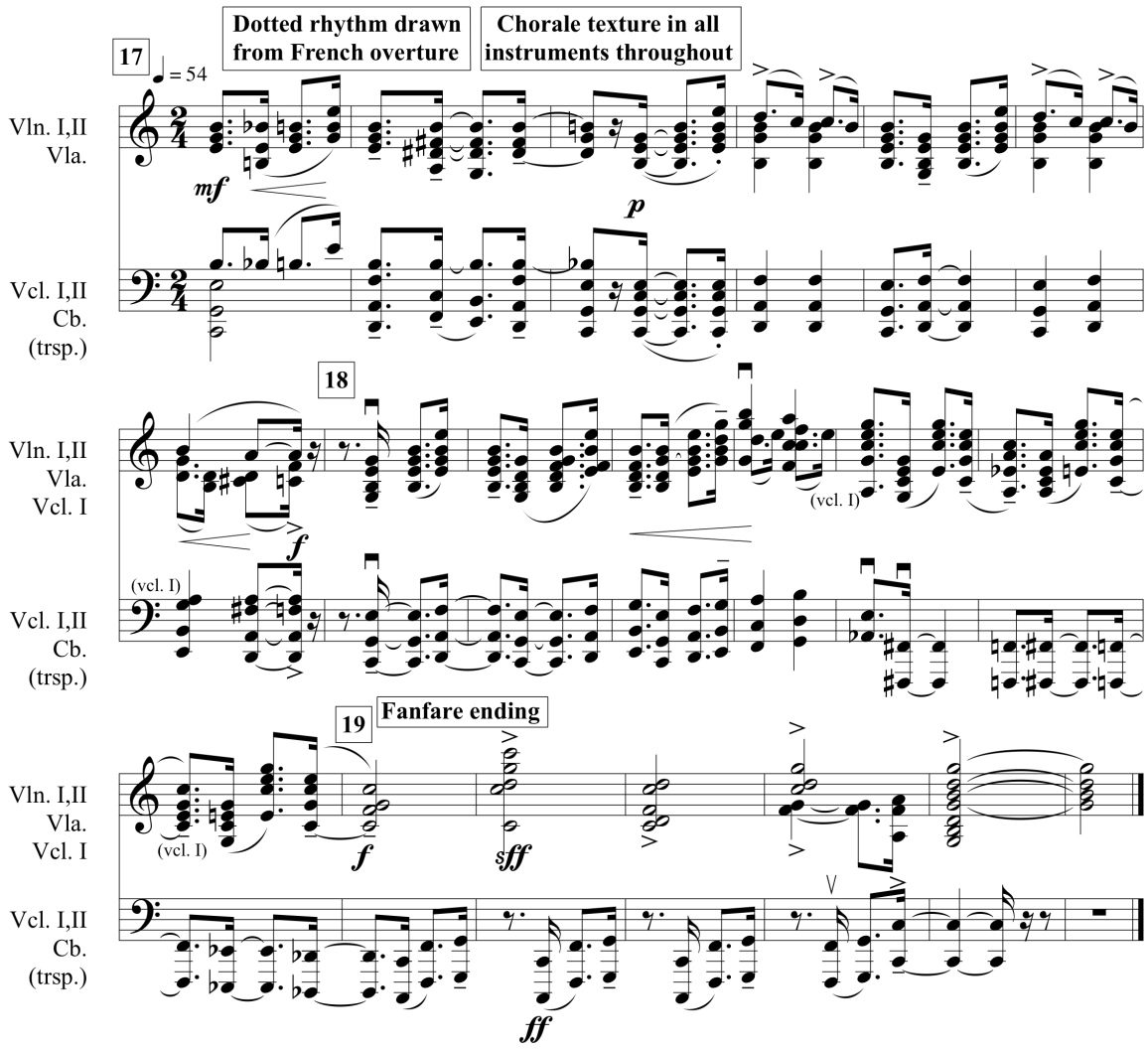
[39] The closest possible similarity would be the overture in *Pulcinella* (1920), but given that this overture is a transcription/arrangement of Domenico Gallo's (1730–68) Trio Sonata No. 1, Mvt. 1, we can understand this music as Stravinsky's imitation or appropriation of this style rather than an original use of the French overture topic itself.




*Example 2–11:* Symphonies d'instruments à vent*, mm. 25–51*

spacing, what Taruskin characterizes as "an infallible symptom of [Stravinsky's] 'liturgical' vein."[40] Both of these examples also progress from dissonant sonorities to diatonic extended tertian chords, ending on similar formations of a G major triad in the upper voices sounding over C (a C major triad in *Symphonies*, octave Cs in *Apollon musagète*). However, evaluating these two examples along the creativity axis, the added French overture rhythm in *Apollon musagète*, as well as its emphatic fanfare ending to

[40] Richard Taruskin, *Stravinsky and the Russian Traditions*, 1489.



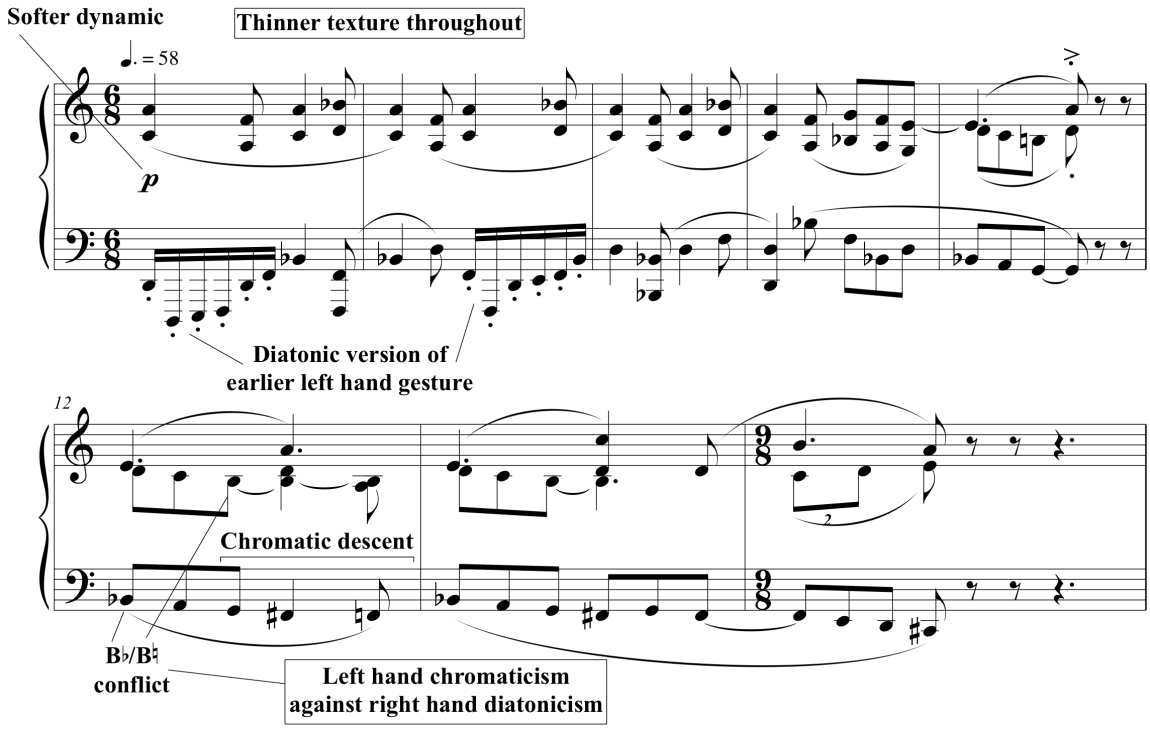

*Example 2–12:* Apollon musagète*, R. 17–19*

the introduction, creates a direct link with the eighteenth-century that can be associated with Apollo's regal character. On the other hand, the more solemn use of hymn and *ombra* topics in *Symphonies*, as well as Taruskin's point regarding the piece's connection to the *panikhida*, forms a compelling homage to the recently deceased Debussy.

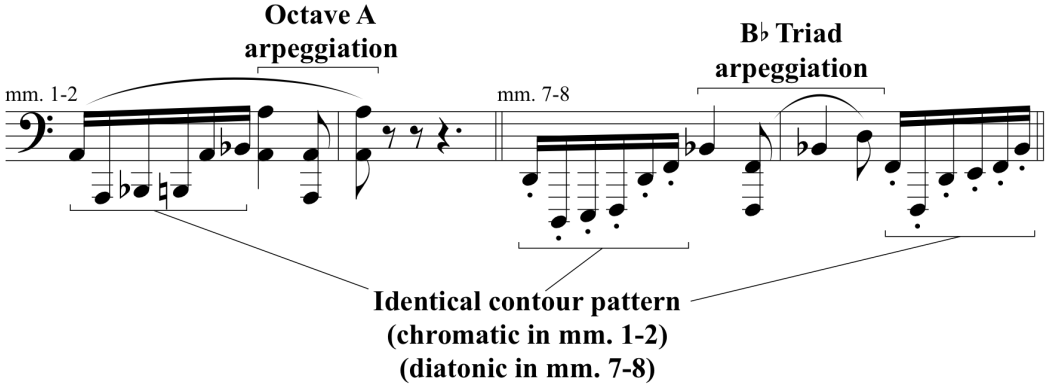
## 4. Productivity

The productivity axis follows the frequency with which a particular trope is used throughout a work. Tropes that appear infrequently in a composition tend to stand out, given that they seem unusual in relation to the rest of the musical discourse, such as the brief pastoral phrase in the midst of the predominantly *tempesta* first movement of the *Concerto for Two Pianos* (see example 2–6). On the other hand, tropes that appear frequently can help the listener interpret a sense of progression regarding the music's overall expressive trajectory.[41] For example, the interaction between hymn and *ombra* topics in the first movement of the *Sérénade en la* is a productive trope that plays a large role in the movement's expressive trajectory. While the conflict between these two topics is apparent in the first six measures of the work (see example 2–2), the next phrase unfolds a similar idea that attempts to mollify the tension between the two (see example 2–13). The right hand's melody is written in a two-voice texture, one octave lower than the opening phrase, which when coupled with the *piano* dynamic projects a gentler, more lyrical arrangement of the opening material. The sixteenth-note left hand gesture is also more serene than the opening: the pitch sequence and contour is identical but the ascending three-note semitone gesture has changed to a diatonic scalar pattern (see example 2–14). The gesture is still played in the same low register of the opening, retaining a slight sense of foreboding, but the Bb triadic outline of the left hand's longer note values renders a more lyrical version of the octave A leap in mm. 1–2. The left hand's sixteenth note gestures in mm. 7 and 8, as well as the light dissonance between the hands, indicate that the conflict between the hymn and *ombra* topics is still present in this

[41] The productivity axis often relates to the work's underlying formal structures in significant ways, but given that musical form will be the primary focus in chapter 4, discussions of these issues will be withheld until that point in the dissertation.




*Example 2–13:* Sérénade en la*, Mvt. I, mm. 7–14*




*Example 2–14: Comparison of left hand gestures in mm. 1–2 and 7–8 in* Sérénade en la*, Mvt. I*

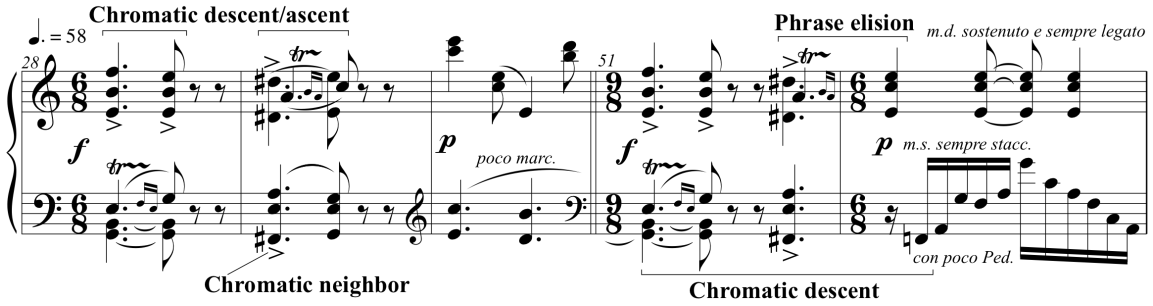
phrase. However, the softer dynamic, reduced texture, and transposition of the opening melody to a lower, more vocal register, increases the dominance of the hymn topic in the right hand.

The opening idea from mm. 1–6 is then repeated in a slightly truncated format in mm. 15–19, creating a small ABA' form within the movement's opening nineteen measures (A = 1–6, B = 7–14, A' = 15–19), which is what Cone refers to as "the initial statement of the two strata."[42] In other words, the A and B phrases represent a conflict between musical ideas, but as Cone points out, "in almost every case, however, there is at least one element of connection between successive levels."[43] As mentioned above, the A section presents a conflict between the transcendent hymn topic and the ominous *ombra* topic. The B section, on the other hand, momentarily assuages this incompatibility by emphasizing the dominant hymn topic, which acts as the element of connection between sections. While the resolution to the first inversion A major triad in m. 14 may suggest that this friction has been resolved, the A section material returns in m. 15, reintroducing the topical and expressive clash established at the beginning of the movement.

The hymn topic is dominant throughout the majority of this movement, but after the opening material there are two disruptions that remind the listener of its conflict with the *ombra* topic (see example 2–15). This interruption particularly stands out the first time it is heard in mm. 28–29. While the gesture is still written in a hymn texture, the accented quality of these interruptions, coupled with the agitated trills, chromaticism (the upper and lower neighbor to E in the right hand, and the lower neighbor to G in the left hand) and added pauses for dramatic emphasis give these figures an *ombra* quality of "sudden

[42] Edward T. Cone, "Stravinsky: The Progress of a Method," *Perspectives of New Music* 1, No. 1 (Autumn, 1962), 23.

[43] Ibid., 19.

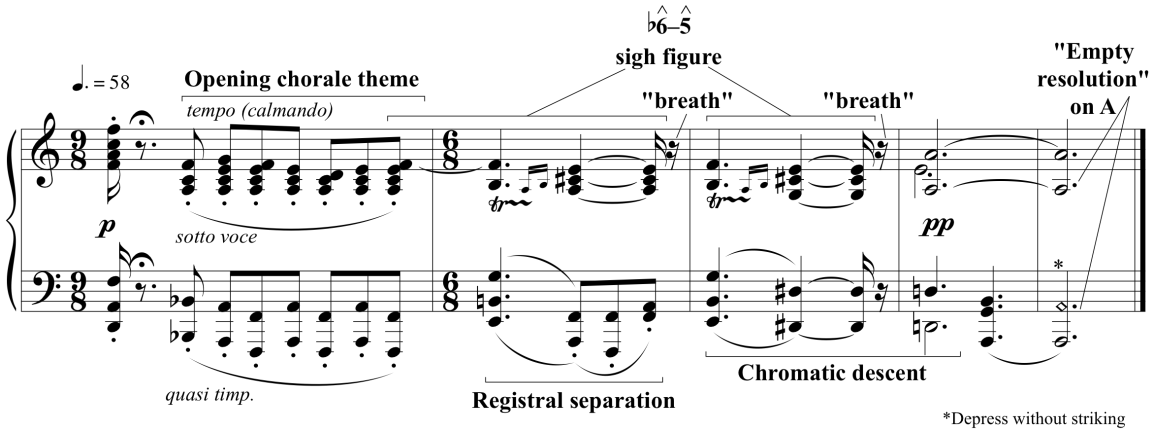



*Example 2–15:* Ombra *interruptions in* Sérénade en la*, Mvt. I, mm. 28–30 & 51–52*

'sforzando' shocks in an otherwise 'piano' and muted uneasiness."[44] The second iteration in mm. 51–52 begins with a similar "shock," though the second rest is abandoned, eliding the end of this gesture with the beginning of the next phrase. Even the sorrowful quality of the left hand's three-note semitonal descent G–F#–F is softened due to the sixteenth-note rest breaking up the pattern on the downbeat of m. 52, pointing to the dominance of the hymn topic even in the midst of this outburst. Thus, the calm hymn topic is still present as the primary element in these measures, but these sforzando outbursts serve as reminders that darker expressions underlie the movement's otherwise tranquil character.

The movement's final phrase begins in m. 77 with material similar to that used in mm. 7–14, evoking the calm nature of the hymn topic (see example 2–16). However, while this topic is still the dominant presence in these measures, the change from legato to a disconnected portato articulation points to an expressive disturbance. In other words, despite the fact that many of the earlier *ombra* elements are erased in this final thematic statement (chromaticism, heightened rhythmic activity, registral separation of left and right hands), this change to a less connected articulation indicates perhaps that a residue of the earlier expressive conflict between the hymn and *ombra* topics is still present in the

[44] Wye Jamison Allanbrook, *Rhythmic Gesture in Mozart*, 198.




*Example 2–16:* Sérénade en la*, Mvt. I, mm. 77–81*

movement's final hymn statement.

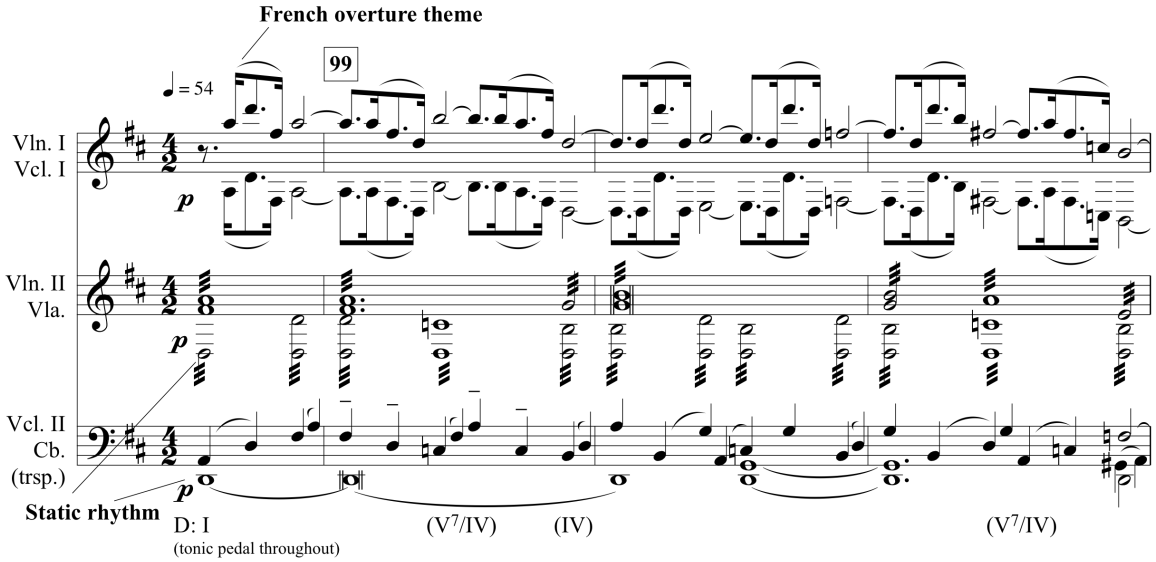
The hymn topic certainly continues to play a dominant role in these final measures, but the *ombra* topic is still noticeable in mm. 78–79, where Cone suggests that a synthesis of these two ideas takes place.[45] The right hand melody plays a $\flat\hat{6}$–$\hat{5}$ sigh figure in both measures, evoking a lament quality that is further highlighted through the short sixteenth-note "breaths" (rests) that occur after the resolution of each gesture. The trill figures on B also support this sorrowful expressive state, drawing on associations of the interruption figures used earlier in the movement. This slight disturbance is further evoked by the left hand's large registral separation in m. 78 and chromatic descent E–D#–D in mm. 79–80 leading into the movement's final cadential gesture. The left hand in m. 80 implies a plagal "Amen" progression, moving from D down a perfect fourth to A. This gesture is appropriate given the prevalent use of the hymn topic throughout the movement, though it is not a plagal progression in the traditional sense. The D–A dyad on the downbeat of m. 80 strongly alludes to this harmony, though the E in the right hand

[45] Edward T. Cone, "The Progress of a Method," 23.

is held over from the previous sigh figure resolution, creating dissonance with the bass note D. This dissonance is heightened on the next beat where the bass voice drops down to A, creating a white-note pentatonic collection A–D–G–B–E. None of these dissonant pitches resolve in m. 81. They are simply released, leaving octave As in the right hand and an A in the left hand two octaves below, resulting in an empty resolution. Thus, while this phrase does resolve peacefully in favor of the dominant hymn topic, elements of the expressive struggle in the trope created by the hymn and *ombra* topics used throughout the movement are still present in these final measures.

Another example of a productive trope is found in the use of the French overture topic in *Apollon musagète*. As discussed above, the trope of the French overture, military, and hymn topics in the introduction projects the high stylistic associations historically connected with Louis XIV onto Apollo's stature as a Greek god.[46] In the "Apotheosis," however, a new trope is formed by the French overture, hymn, and pastoral topics (see example 2–17). In contrast to the marcato, ceremonial pattern used to signify the birth of Apollo, we now find a softer, lyrical figuration representing Apollo and the muses preparing to depart to Parnassus. The harmonic pedal on D evokes the pastoral topic, made even more apparent in the contrabasses simply by being sustained throughout this thematic statement rather than being rearticulated in a fanfare rhythm as it was earlier in the work. Above this harmonic pedal the second cellos play an arpeggiated figure that provides harmonic support, along with the tremolo chorale accompaniment provided by the second violins and violas. The static harmony coupled with the soft tremolo texture creates a tranquil, shimmering sound around which the first violins' and first cellos' melody floats, evoking the transcendent quality corresponding to the hymn topic. This

[46] Leonard G. Ratner, *Classic Music*, 20.




*Example 2–17:* Apollon musagète*, R. 99*

character is further supported by the arrangement of the theme, with the first violins appearing one octave higher than at R. 4 and doubled two octaves below by the first cellos, thereby creating a sense of nostalgic distance.

Given the connection of the French overture theme, we can compare the differences in meaning expressed by these tropes at the beginning and end of the work. The expressive effect at this point in the "Apotheosis" creates a sense of transcendent majesty, perhaps referring to the end of the muses' interaction with Apollo before departing to Parnassus.[47] This trope also contributes a nostalgic quality, given that the use of the French overture theme at the end of the work in this slow, plaintive, pastoral style calls to mind the earlier, regal French overture trope from work's opening, suggesting a transformation of character that has taken place throughout the ballet.

From a dramatic standpoint, the work could have ended in a positive expressive

[47] Given that the pastoral topic has very little basis in "social realities" and can be used to represent "idealized simplicity" (Monelle, 2006: 185 & 220), the use of this topic perhaps also reflects the mythic and fantastic nature of the ballet's narrative.

state with this nostalgic D major restatement of the French overture theme, but instead the ballet ends with the French overture topic changing to the *ombra* topic, concluding in a more negative, tragic expressive state (see example 2–18). Given that this is one of the few instances of the *ombra* topic in the ballet, the use of this topic at the end of the work is marked. However, Stravinsky writes this topic in such a way as to draw a connection with the French overture theme used throughout the work, signifying another level of the French overture topic's productivity in the ballet. This *ombra* phrase is written in the key of B minor, the same key in which the hymn at the beginning of the "Apotheosis" is written, as well as the relative minor of the previous pastoral section. A new theme is written in the first violins and cellos, though the melody is a modified version of the French overture theme heard previously. The motivic use of the same dotted rhythm pattern here is significant. Clive McClelland discusses this rhythm's importance to both the *ombra* and French overture topic:

> Dotted rhythms are frequently used in *ombra* music. The uneven rhythm, like the tremolando, is a means by which to express fear and agitation, perhaps with the underlying suggestion of an irregular heartbeat. But when combined with other march-like characteristics, such as triadic melodic lines (associated with fanfares), the effect is one of awe and majesty. There is a direct link here with the French overture, which has its origins in ceremonial music for Louis XIV.[48]

Both the French overture and *ombra* topics convey high stylistic associations and use dotted rhythms, though both of these topics usually convey different expressive states. By composing the sections at R. 99 and R. 101 using similar textural and thematic characteristics, Stravinsky is perhaps suggesting an expressive transformation in the final phrase of the work from positive reminiscence to negative anxiety.

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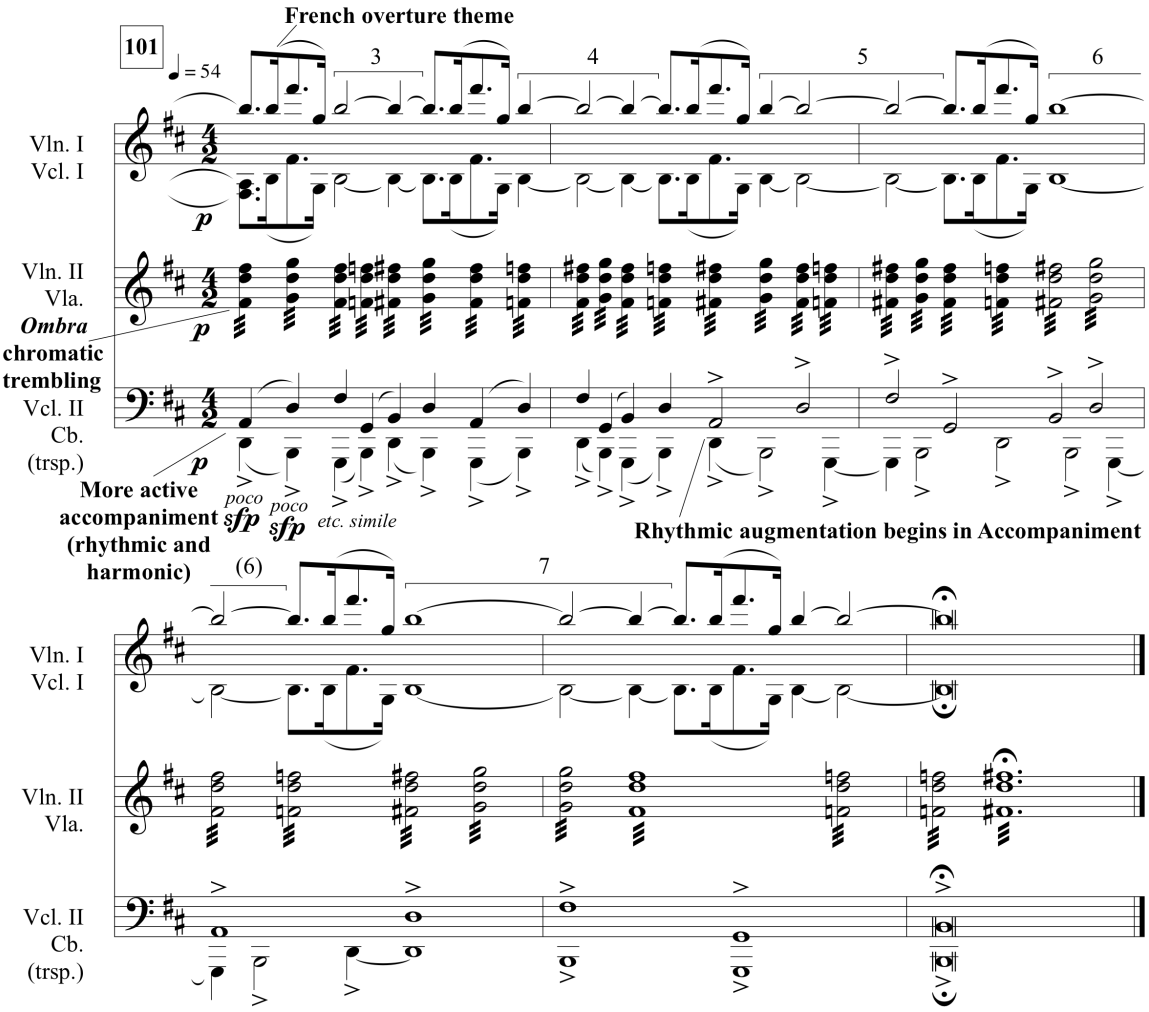
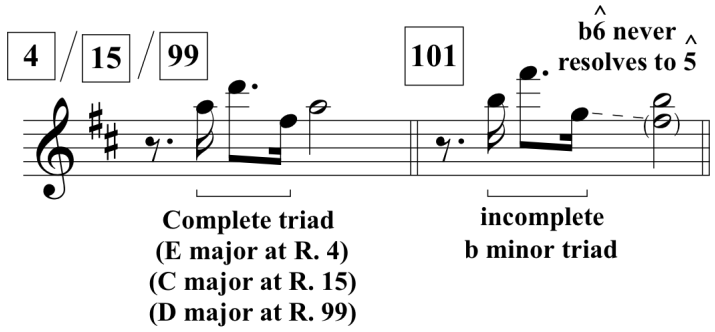
[48] Clive McClelland, Ombra*: Supernatural Music in the Eighteenth Century*, 103.




*Example 2–18:* Apollon musagète*, R. 101*

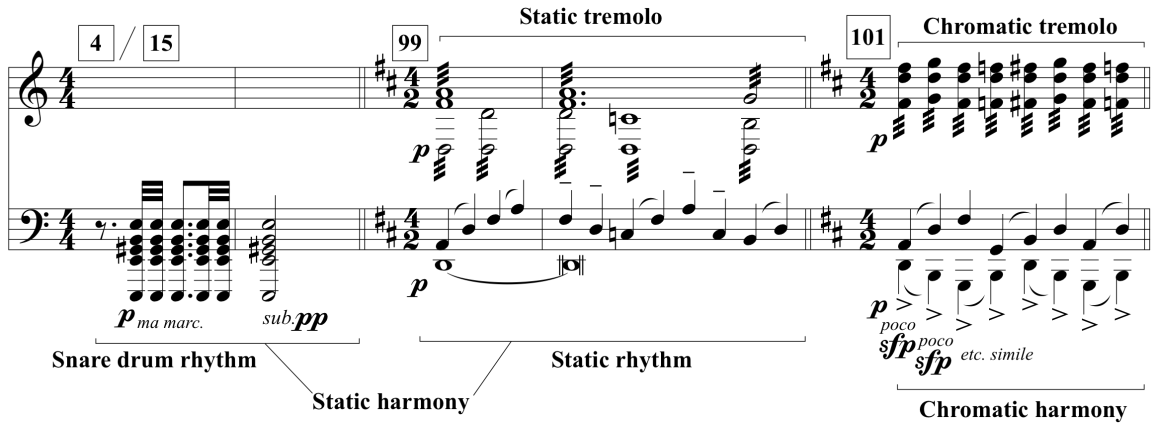
The contour of the *ombra* melody is the same as the French overture theme, though the pitch content is a distorted version of the latter's triadic outline (see example 2–19). The first B-F# interval at R. 101 outlines the perfect fifth from the underlying B minor triad, but the following descent extends down a major seventh from F# to G before returning to the starting pitch B. This dissonant interval of the major seventh can also be heard as the beginning of an incomplete sigh gesture, given that the dissonant G moves up to B instead of down to F#, leaving the triadic outline distorted and incomplete rather




*Example 2–19: French overture theme comparisons at R. 4, 15, 99, and 101*

than the complete D major outline heard at R. 99. This transformation from French overture to *ombra* topics at the end of the work alters the associations of the original theme from majestic to unsettled, changing the ballet's narrative trajectory from a positive state to one of uncertainty.

The accompaniment pattern at R. 101 also changes in many significant ways from the fanfare pattern at R. 4 and 15, and the hymn/pastoral accompaniment at R. 99 (see example 2–20). The second violins and violas continue to play tremolo figures until the end of the work, though the static triadic harmonies from R. 99 have now changed to a winding chromatic figure that oscillates between F, F#, and G (pivoting around F#). This changes the nature of the same tremolo texture heard a few bars prior at R. 99, from shimmering transcendence to an uneasy chromatic trembling. The rhythmic texture in the second cellos and contrabasses is also intensified as they play arpeggiated figures (second cellos alternate D major and G major, contrabasses play only G major), using steady quarter notes at first, before slowing down to half notes and finally whole notes. This more rhythmically and harmonically active texture also contributes to the lack of resolution at the end of the ballet.




*Example 2–20: French overture theme accompaniment patterns at R. 4, 15, 99, and 101*

The various treatments of the French overture topic at the work's beginning and end, concluding with the final transformation into the *ombra* topic, play an important role in the ballet's expressive trajectory. Dotted rhythms provide the connection throughout the work, from ceremonial opening fanfare, to transcendent nostalgia, to uneasy trepidation at the ballet's close. The change in expressive tone comes as a surprise at the end of a ballet that primarily conveys a positive expressive character as a story of Apollo's time with the muses, concluding with their ascent to Parnassus. The music at R. 99 conveys this expected expressive state, given the tranquil, transcendent quality of the pastoral and hymn topics troped with the French overture topic. However, read in the context of the "Apotheosis" as a whole, which begins and ends in the key of B minor, this D major pastoral section is more of a temporary vision amidst an overall morose ending to the story. Stravinsky himself suggests that "if a truly tragic note is sounded anywhere in my music, that note is in *Apollo*. Apollo's birth is tragic, I think, and so is his ascent to Parnassus…."[49] The nostalgic quality of this D major passage would then represent

[49] Igor Stravinsky and Robert Craft, *Dialogues*, 34.

Apollo and the muses looking back on their past experiences, though this is a fleeting vision within the context of the B minor chorale and *ombra* music that indicates their apprehension about departing for Mount Parnassus.

If we are to interpret the end of *Apollon musagète* as tragic, one question that remains is why Stravinsky would choose to end the work in this way. Given the use of the opening French overture topic and the ballet's description as serene, a diatonic composition, and a *ballet blanc*, everything up until the tragic "Apotheosis" is written to convey the dignified character of Apollo and the muses – a positive expressive state that we would normally ascribe to our interpretation of this Greek myth.[50] The introduction of negative expressive elements in the B minor chorale and the change from French overture to *ombra* topics leads the listener to reinterpret their understanding of the characters at the end of the ballet. Arnold Whittall discusses this facet of the Apotheosis, stating that the closing indicates "the degree to which certainty, tinged with sorrow, summons up a musical expression in which celebration and lamentation co-exist.…[F]or Stravinsky, 'tragic' implies a state of unknowing innocence, a peculiarly human kind of vulnerability in which hope and optimism, both destined to be confounded, are at their most pure."[51] This expressive conflict is reflected musically by the B minor/D major passages and the

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[50] Robert Craft, "Introduction: A Master at Work," in *Dialogues*, by Igor Stravinsky and Robert Craft (Berkeley, CA: University of California Press, 1982), 18. Craft qualifies this introduction as "serene." Jonathan Cross (2013: 13) describes *Apollon musagète* as a diatonic composition and a ballet blanc: "Stravinsky himself designated *Apollo* a *ballet blanc*, a term applied in the nineteenth century to scenes in classical ballet where the principal ballerina wore pure white. The music eschews contrast, pares down the scoring to strings, and employs principally diatonic harmony representative of a kind of white-note Hellenism." Maureen A. Carr (2002: xii) has convincingly argued for Stravinsky's use of background octatonicism in *Apollon musagète*, though I would argue that the surface of this ballet sounds more diatonic than octatonic: "[Stravinsky's] ballet *Apollo* is seemingly a diatonic work. Yet the musical sketches for *Apollo* reveal Stravinsky's careful attention to a tritonal axis that he is likely to have borrowed from Moussorgsky's *Boris Godounov*. Only small traces of the tritonal axis survive in the printed edition of *Apollo*. It is as though Stravinsky was disguising the octatonic flavor of his Russian past within the diatonic framework of *Apollo*."

[51] Arnold Whittall, "Stravinsky in Context," in *The Cambridge Companion to Stravinsky*, ed. Jonathan Cross (New York: Cambridge University Press, 2003), 45–6.

connection between the *ombra* and French overture topics, though the music throughout the rest of the ballet does not prepare for this sudden change to a despondent expressive state in the B minor hymn and *ombra* music at the end of the work:

> Wistful eighteenth-century retrospectivism had occasionally surfaced in the ballet throughout the decade, but concurrent with the dissolution of the 'Roaring Twenties' a touch of melancholia appeared in the ballet music of many Paris-based composers – from Stravinsky (*Apollon musagète*) to Prokofiev (*L'Enfant prodigue*) and even Poulenc (*Aubade*) – occasioned by even more archaic plots.[52]

Rather than end the work by continuing to convey the majestic quality of these mythical characters through the French overture topic, Stravinsky ends the ballet by transforming this material using the *ombra* topic, conveying a sense of melancholy.

[52] Stephen D. Press, *Prokofiev's Ballets for Diaghilev* (Burlington, VT: Ashgate Publishing Company, 2006), 9.

# Chapter 3
# Distorted Topics: Musical and Expressive Manipulation of Dance Topics

*"Now, I do not have a temperament suited to academicism; so I always use academic formulas knowingly and voluntarily. I use them quite as knowingly as I would use folklore. They are raw materials of my work."*[1]

## Introduction

As discussed in the preceding chapters, Stravinsky often used topics in more traditional manners, either by themselves or in tropes that form unique expressive meanings. However, the composer did not always utilize these characteristic figures in such straightforward ways. This chapter reveals that he also used topics in more complex arrangements that created unique musical and expressive interpretations of these figures for his audience. This treatment of topics can be referred to as "distorted topics," defined as any topic in which one or more of its defining components or characteristics is altered, suppressed, or entirely removed. Given the significance of rhythm and meter in Stravinsky's music, distorted topics are most often heard in works where the defining metrical associations of dance topics are altered in ways that make it difficult for the listener to understand their identity. This chapter will focus on how Stravinsky distorts the metrical associations connected with certain dance topics, and the ways in which the listener's interpretation of the stylistic and expressive meanings associated with those figures changes along with their alterations.

[1] Igor Stravinsky, *Poetics of Music in the Form of Six Lessons* (Cambridge, MA: Harvard University Press, 2003), 84.

## Defamiliarization

As discussed in chapter 1, Kofi Agawu examines Stravinsky's use of topics as employing one of two approaches; either in a traditional manner, similar to how they would have been used in past musical styles, or in non-traditional ways. Agawu elaborates further on the latter:

> In Stravinsky's music, an essentialized parasitical tendency often originates in a play with, or appropriation of, established topics. At the root of the aesthetic lies a desire to creatively violate commonplaces or figures burdened with historical or conventional meaning.[2]

In this way, Stravinsky often alters familiar topics, allowing listeners to understand the topical reference while simultaneously obscuring the figure's distinctive features. Joseph N. Straus points to a similar aspect of Stravinsky's neoclassical style, which can also be applied to the composer's use of topics. As Straus puts it, Stravinsky's relationship to the past is formed around a dual process of incorporation (using various elements from past composers and styles) and revision (the idea that "he radically revised those earlier elements, reshaping them in his own image").[3] Thus, while Stravinsky used topics in more traditional manners, he often used these same conventional figures in unconventional ways so as to distort our interpretation of their musical and expressive associations.

Many parallels can be drawn from Agawu's and Straus' ideas to Viktor Shklovsky's notion of "defamiliarization," a term first coined in his 1917 essay "Art as

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[2] Kofi Agawu, *Music as Discourse: Semiotic Adventures in Romantic Music* (New York: Oxford University Press, 2009), 49.

[3] Joseph N. Straus, *Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition* (Cambridge, MA: Harvard University Press, 1990), 6. As Straus puts it, through this process, Stravinsky is able to express his "underlying ambivalence toward the past, as simultaneously a model to be emulated and a challenge to be neutralized (or a 'strong pincers' to be resisted)."

Technique."[4] Shklovsky's fundamental idea is that art should be used to present familiar objects to the audience in non-habitualized or mechanically familiar ways so as to create a new aesthetic perception and appreciation of the common object:

> Art exists that one may recover the sensation of life; it exists to make one feel things, to make the stone *stony*. The purpose of art is to impart the sensation of things as they are perceived and not as they are known. The technique of art is to make objects 'unfamiliar,' to make forms difficult, to increase the difficulty and length of perception because the process of perception is an aesthetic end in itself and must be prolonged.[5]

Several scholars have pointed to defamiliarization as a primary component of Stravinsky's neoclassical aesthetic.[6] Most recently, Maureen A. Carr discusses the influence that defamiliarization had on the development of Stravinsky's neoclassical language. One of Carr's examples of this is her discussion of Stravinsky's experiments

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[4] For a complete reprint of this essay, see (Shklovsky, 1965).

[5] Viktor Shklovsky, "Art as Technique," In *Russian Formalist Criticism: Four Essays*, trans. Lee T. Lemon and Marion J. Reis (Lincoln, NE: University of Nebraska Press, 1965), 12.

[6] Rudolf Stephan (1985: 243–8, quoted in Chew, 1993: 256) draws a connection between defamiliarization and parody: "the music of the past is not imitated [in Stravinsky's neoclassical works] but…'defamiliarised,' 'parodied.' The 'parody' (this is the new 'defamiliarised' form) presupposes the original version not only for the composer but each time also in the consciousness of the listener…." Geoffrey Chew (1993: 257) picks up on Stephan's argument in his analysis of *The Rake's Progress*, stating that "The neoclassicism of *The Rake's Progress*, too, even in the least traditionally tonal passages of the work, may best be approached by analysing the distortions to which conventional tonal procedures have been subjected." Jonathan Cross (1998: 13) expands this argument further, suggesting that defamiliarization is a component of Stravinsky's aesthetic in all three of his compositional styles: "It is [Stravinsky's] relationship to the past – whether to his 'Russian tradition', to the gamut of Western musical history, or to serialism – which has proved one of the most controversial and, arguably, one of the most influential aspects of Stravinsky's modernism…. [B]y placing familiar objects in new contexts he enables us to see them in new ways. A kind of alienation technique, one might say – an almost Brechtian desire to *prevent* the ossification of over-familiar conventions." Hermann Danuser (2004: 268–9) examines defamiliarization in the first movement of the *Concerto for Piano and Wind Instruments* (1923–4): "[Stravinsky] took as his point of reference the rhythmical regularity of J.S. Bach's music, defamiliarizing it with cross-accents and irregularly shaped phrases." In essence, Stravinsky combines the contrapuntal techniques of Bach with jazz influences in order to create a new perception of these styles. Graham Griffiths (2013: 94) notices similar features in Stravinsky's piano duet and "character pieces" from *L'Histoire du soldat: "*On the one hand, Stravinsky's subject matter in the decade 1913–23 renders him liable to the accusation of 'Habitualization'…Yet, in the manner that Stravinsky renders these 'aspects' *unfamiliar* – for example, by increasing their difficulty…and by modifying the listener's 'habitual perceptions' – Stravinsky's child's-world music may also be regarded as exemplifying the Formalists' concept of Defamiliarization."

with ragtime: "*Piano-Rag-Music* demonstrates a quintessential alienation or deformation of its tonal model that defamiliarizes its source."[7] As Carr points out, this piece is based on conventional ragtime idioms, but the ways in which Stravinsky reworks these elements makes the listener's ability to perceive them more difficult. Through this prolonged act of recognition, the listener can become more aware of how the ragtime figures have been musically manipulated, and how these alterations influence their interpretation of the ragtime elements in the work.

Martha Hyde examines similar issues in her discussion of parody as a specific subcategory of what she refers to as "anachronism" in Stravinsky's music:

> While these pieces ["Three dances" from *The Soldier's Tale* (Tango, Ragtime, Waltz), *Ragtime* for eleven instruments, and *Piano-Rag Music*] are Stravinsky's first to be based on contemporary popular dances and do feature more prominently the usual major and minor scales, they nonetheless seem better described as parodies or satires, for their effect derives from making that which has become too familiar appear unfamiliar – or at least barely recognizable. In these pieces, Stravinsky seeks not to revive a past tradition, but playfully to mock popular conventions.[8]

Even though Stravinsky draws on familiar conventions in these works, he does so in ways that alter the listener's perception of these figures. Hyde's focus on parody points to Stravinsky's ability to produce a caricature of popular conventions, warping these figures in order to alter the listener's perception and interpretation of their musical features.

While Stravinsky does not always use topics to mock conventions as he does in the pieces that Hyde discusses, the larger point that he undermines certain traditional

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[7] Maureen A. Carr, *After the Rite: Stravinsky's Path to Neoclassicism (1914–25)* (New York: Oxford University Press, 2014), 26. One of Carr's other examples in this discussion is the "Petit choral" from *L'Histoire du soldat* (1918), in which she states that Stravinsky "adapted this chorale fragment to dramatize the poetic meaning of the libretto" (2014: 25).

[8] Martha Hyde, "Stravinsky's Neoclassicism," in *The Cambridge Companion to Stravinsky*, ed. Jonathan Cross (New York: Cambridge University Press, 2003), 101.

elements in order to alter the listener's interpretation of their familiar associations is similar to defamiliarization and important to my concept of distorted topics in his neoclassical works. Defamiliarization points to the fact that distorted topics are borrowed from other contexts, though it goes a step past this initial borrowing and examines the ways in which Stravinsky alters the appropriated material, as Shklovsky would say, in order to make the perception of the figure more difficult. Distorted topics are the focus of this chapter, specifically how the rhythmic and metric alterations Stravinsky makes to certain topics compels the listener to rethink their musical and expressive interpretations of these characteristic figures.

## Rhythmic and Metric Distortion

One of the ways in which Stravinsky achieves topical distortion is through the manipulation of these topics' characteristic metric and rhythmic structures, typically achieved through the addition or omission of one or more beats. Rudolf Stephan points to the importance of these rhythmic and metric manipulations as a component of Stravinsky's defamiliarization of past models:

> The most important procedures of 'defamiliarisation' found in Stravinsky are the omission or insertion of fractions of a bar, bars, phrases, groups of bars or sections, the elision or extension of fractions of a bar or whole bars, etc….From all this there arise consequences for the formal construction: bars, phrases or other units are newly combined after having been isolated, and in this way they change their function.[9]

[9] Rudolf Stephan, "Zur Deutung von Strawinskys Neoklassizismus," in *Vom musikalischen Denken: Gesammelte* Vorträge (New York: Schott, 1985), 243–8. Quoted in Geoffrey Chew, "Pastoral and Neoclassicism: A Reinterpretation of Auden's and Stravinsky's *Rake's Progress*," *Cambridge Opera Journal* 5, No. 3 (Nov., 1993) 256-7.

This type of distortion seems to occur most often at the beginnings and ends of phrases, while much of the remainder of the phrase remains true to the topical model. This approach ensures that the listener's recognition and expressive interpretation of the topic will be defamiliarized, while still allowing them to identify the conventional figure at some point in the example.

Pieter C. van den Toorn's discussions of rhythm and meter in Stravinsky's music share many similarities with the processes of topical distortion outlined in this chapter. Van den Toorn defines "displacement" in Stravinsky's (specifically Russian period) music as "shifts in the metrical alignment of repeated motives, themes, and chords," which illustrates two important elements of the composer's rhythmic conception of music.[10] First, van den Toorn shows that Stravinsky undoubtedly thought of his music in a rhythmic fashion, reinterpreting the rhythmic and metric identities of his compositional ideas throughout a given passage or work. Second, and perhaps more significantly, van den Toorn points out that the listener can interpret the new metrical identity of these ideas either "conservatively" or "radically" (see figure 3–1).[11] Each type of interpretation deals with the placement of a certain figure within a given meter. Conservative interpretations keep a regular metric framework throughout with the figure's placement changing in

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[10] Pieter C. van den Toorn, "Stravinsky, Adorno, and the Art of Displacement," *The Musical Quarterly* 87, No. 3 (Fall, 2004), 468. As van den Toorn points out, this definition of displacement is based in part on Adorno's observations made in *Philosophy of Modern Music* (1949). Van den Toorn's initial discussion of displacement was later elaborated by Don Traut (2007: 521–35). Traut's main contribution to the discussion of displacement was to expand the concept to include the displacement of individual notes or chords in a contrapuntal manner (taking after Schenker), in addition to van den Toorn's larger blocks. Van den Toorn's (2007: 536–8) brief response to Traut takes his account into consideration, reinforcing his idea that this facet of Stravinsky's music is one of the key components of the composer's style: "It can account for the literal nature of the repetition, for example, the lack of variation and development along traditional lines; and it can account for much of the articulation as well, such as the beams, staccato, and non-espressivo markings in his scores." Most recently, van den Toorn and John McGinness (2012: 13–41) have continued to elaborate on Stravinsky's use of displacement by focusing on the cognitive repercussions of this technique.

[11] Ibid., 481.

| | change | no change |
|---|---|---|
| "conservative" → | placement (displacement) | meter |
| "radical" → | meter | placement |

*Figure 3–1: Van den Toorn's "conservative" or "radical" displacement in Stravinsky's music.*

relation to a consistent bar line, while radical interpretations change the meter so that the figure's placement remains constant in relation to the bar line.

Van den Toorn's example of displacement in mm. 1–6 of *Symphonies of Wind Instruments* comes closest to my concept of distorted topics (see figure 3–2).[12] Here, through a series of subtle rebarrings and recompositions, van den Toorn shows how a radically notated musical passage relates back to a more conservative model. Level b is a rebarring in 2/4 of the notated music in level a, while level c adds one eighth note in duration to the B in m. 2 so that both thematic statements begin on the downbeat, which van den Toorn states "eliminates the displacement." Finally, level d adds another quarter note D in m. 3 so that both thematic statements begin identically, creating a more balanced phrase. In other words, level d is what van den Toorn would consider to be the most conservative model against which we can understand the more radically notated

[12] Ibid., 492. William Rothstein performs similar recompositions in his analyses in part II of his 1989 book, in which he reconstructs "prototypes" for certain passages in the music of Haydn, Mendelssohn, Chopin, and Wagner. Rothstein (1989, 93) states: "As Oster was the first to recognize explicitly, it is sometimes possible to reconstruct an implied prototype for these mysterious expansions, a prototype not expressed in the actual music yet recognizable from a layered analysis. Little of a general nature can be said about these 'middle ground' prototypes except that, like prototypes that are stated literally, they tend to conform to contextually established norms of phrase length and hypermeter."

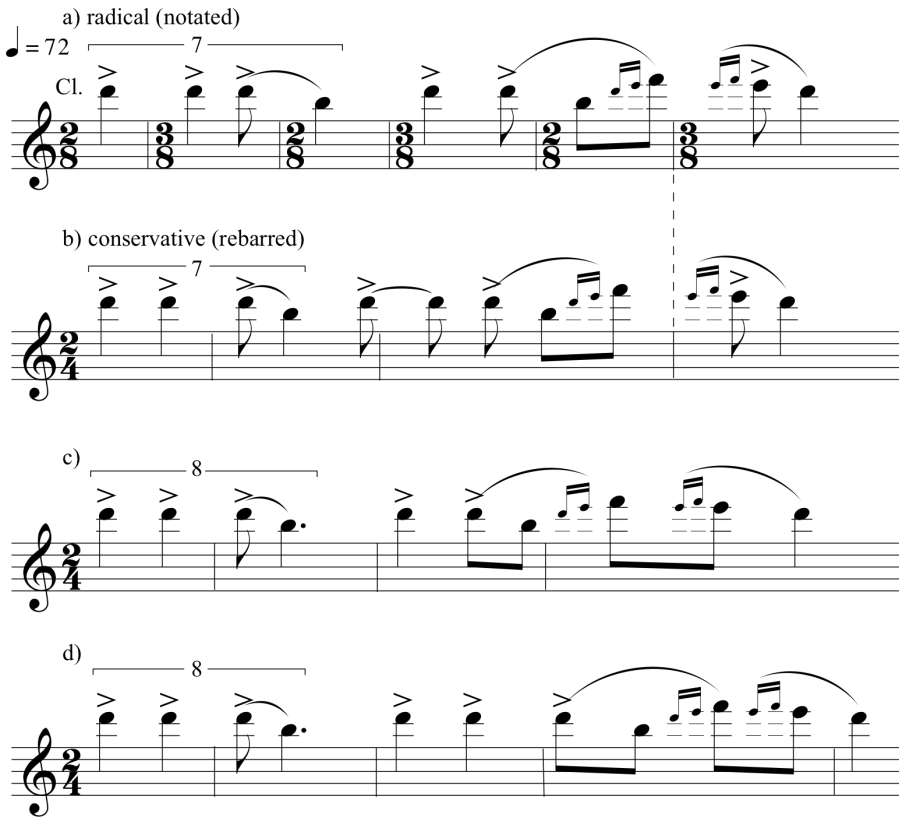


*Figure 3–2: Van den Toorn's reading of* Symphonies of Wind Instruments *(mm. 1–6), rebarred and recomposed in progressively more conservative arrangements.*

music in level a. As he puts it, "The displacement of the motive may be heard and understood as a departure from an underlying stereotype, a *variation* in this respect."[13]

Despite the complex rhythmic nature of Stravinsky's music, the listener can often hear that these passages relate to more "normative" musical models. This conflict between the listener's knowledge of a more conventionalized figure heard against the way in which Stravinsky presents the figure in the music itself can provide a unique interpretation of the musical object. As van den Toorn and McGinness point out:

[13] Ibid., 493.

> A displacement is felt not in isolation, obviously, but as it relates to a previously established placement. Intimations of that earlier alignment surface not as part of an evolving sense of structure (an overriding pattern inferred by the listener, in other words), but as something which conflicts with such a sense.[14]

Instead of relating the music to "previously established placements," this chapter rather focuses on how Stravinsky's distorted topics are connected with their traditional, normative models. Put another way, while most of the examples van den Toorn discusses in his research deal with "internal" displacements, comparing metrical placements of a certain musical idea within the same work, my focus will be on "external" displacements, comparing Stravinsky's music to the more conservative topical models to which the music alludes.

Furthermore, while van den Toorn examines both radical and conservative hearings of the same figure, this chapter focuses on recomposing Stravinsky's actual, radical realization of these topics in his notated music in order to compare these distorted figures with their more conservative, hypothetical topical models. Given that this chapter deals with topics that have been distorted metrically or rhythmically, it should be assumed that the music itself is "radical" as compared to the more "conservative" topical model on which it is based. Thus, this chapter will focus on rebarring and recomposing Stravinsky's distorted topics to analyze the differences between the notated music and the more traditional models on which they may have been based. Analyzing the differences between a conventional topical model and its distorted realization on the musical surface can provide insights for our expressive interpretation of the composer's neoclassical music.

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[14] Pieter C. van den Toorn and John McGinness, *Stravinsky and the Russian Period*: *Sound and Legacy of a Musical Idiom* (New York: Cambridge University Press, 2012), 25.

## Distorted Stylistic and Expressive Meanings

To understand how the listener's interpretation of these distorted topics is affected by Stravinsky's defamiliarization of past musical models, let us turn to Wye Jamison Allanbrook's work on topic theory as it relates to rhythm and meter. One of the most important aspects of her approach is the way in which she connects the common metric and rhythmic features of certain dance topics with their stylistic and expressive associations. Figure 3–3, for example, illustrates how Allanbrook connects simple duple meters to higher stylistic and expressive associations, while lower associations are signified by simple triple and compound meters.[15] Figure 3–4 (also shown in figure 1–1) builds upon this model, ordering dance topics along the same spectrum in order to illustrate how the metric associations of each figure connect to their characteristic stylistic and expressive meanings.[16] In this way, Allanbrook effectively shows how we can interpret the common stylistic and expressive associations conveyed by certain dance topics through an examination of their primary rhythmic and metric features.

Allanbrook goes on to discuss the choreographed movements associated with these dance topics as an important component of our interpretation of their stylistic and expressive associations. As she states, "it makes sense that meter – the classification of the number, order, and weight of accents – should take on an important role in an aesthetic which connects emotion with motion."[17] Allanbrook suggests that there is a connection between the associations evoked by the characteristic gestures of these dance topics and their rhythmic and metric components:

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[15] Wye Jamison Allanbrook, *Rhythmic Gesture in Mozart:* Le Nozze di Figaro *&* Don Giovanni (Chicago, IL: University of Chicago Press, 1983), 22.

[16] Ibid., 67.

[17] Ibid., 14.

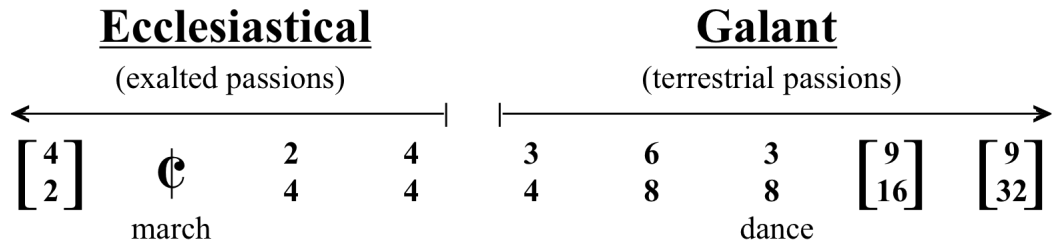



*Figure 3–3: Allanbrook's figure illustrating the stylistic associations connected with different meters.*

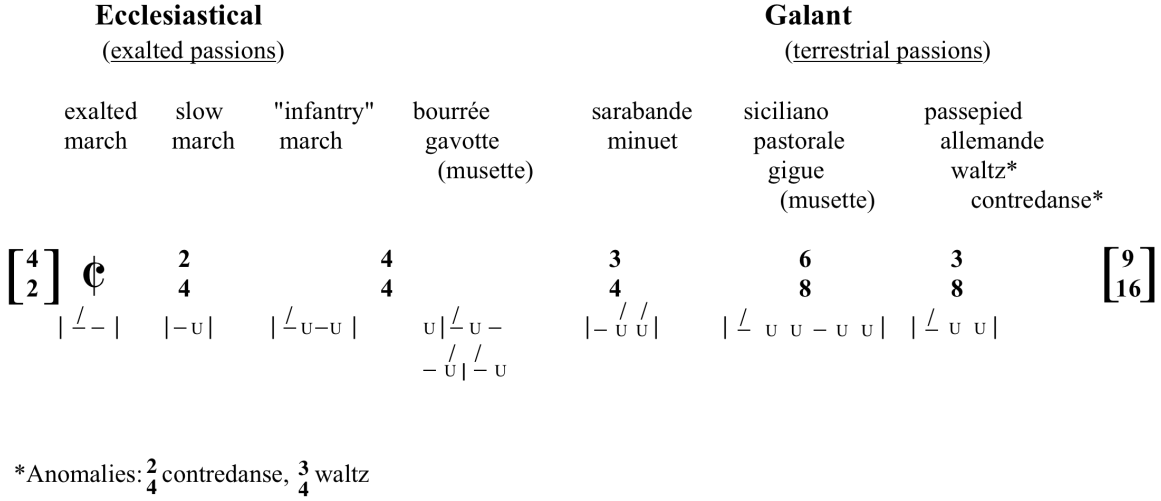



*Figure 3–4: Allanbrook's metrical spectrum illustrating how certain dance topics relate to the stylistic associations of given meters.*

> It is not at all surprising that rhythm…is a primary agent in the projecting of human postures and thereby of human character…The rhythmic *topos* or characteristic rhythmic gesture lies at the base of almost all of Mozart's affective vocabulary, and in opera especially. There the subject is explicitly the actions of human beings, and rhythmic gestures choreograph the movements of each character in the drama.[18]

Studying the connection between the rhythmic and metric characteristics of dance topics and their corresponding movements can thus provide us with a sense of the stylistic and

[18] Ibid., 8.

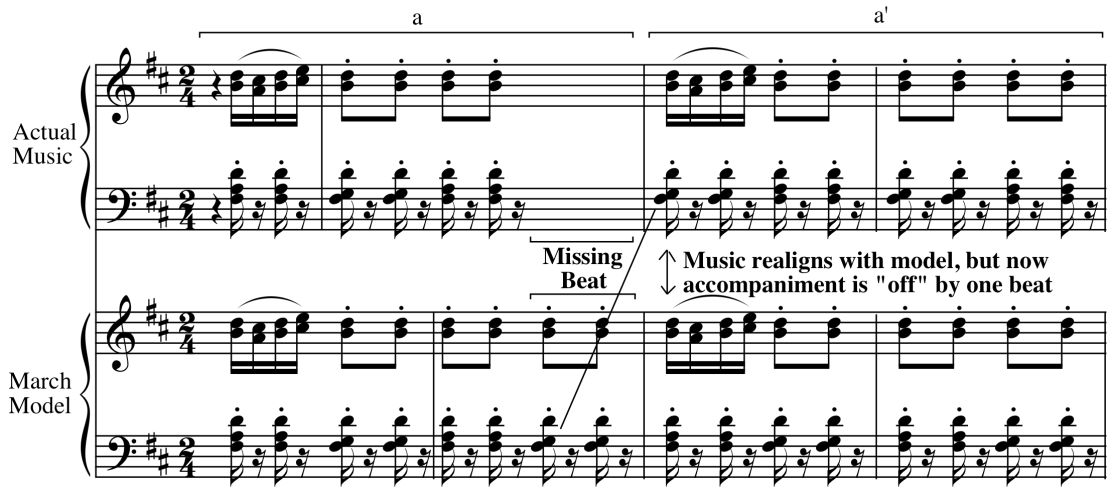
expressive associations they convey.

The question then becomes how our interpretation of these figures is affected when the rhythmic and metric components of these topics are distorted, if we rely on these elements to interpret a given topic's stylistic and expressive associations. Given that Stravinsky's distorted topics often retain a significant portion of their original identity, the listener is still able to recognize the figure on which a given passage is based, allowing them to interpret the musical, stylistic, and expressive meaning conveyed by the topical model. However, when a topic is distorted, the stylistic and expressive meanings commonly associated with that figure should likewise be revised in our interpretation of the music.

## Distorted Marches

"Ceremonial in affect, 'serious, but at the same time rousing,'" the march topic conveys high stylistic and expressive associations given its steady duple meter "used to support the activity of the marchers," and its affiliation with the military, soldiers, and heroism.[19] While the distorted march topic in the beginning of the first movement of Stravinsky's *Violin Concerto* (1931) maintains this identity to a certain degree, the alteration of the topic's duple meter transforms its high stylistic associations (see example 3–1). The music at R. 1 begins on beat two of the notated 2/4 meter, though the allusion to the

[19] Ibid., 46–7. Raymond Monelle goes beyond this idea, discussing how the march topic's signification stems from its evocation of the cultural mythology of the warrior hero. However, Monelle (2006, 166) also suggests that the march topic is often altered, resulting in a "pseudo-quotation" of actual military music, which can "offer a direct channel to the manly and active associations of idealized soldiering, without pretending to be an actual military signal." As he puts it (2006, 169): "To situate her composition in the heroic world of the cultural unit, the composer had to depart a little from exact reproduction…The distortion of the march and fanfare was necessary in order to move away from a mere picturing of soldiers to an invocation of the cultural theme."




*Example 3–1:* Violin Concerto*, Mvt. I, R. 1. Topical Distortion of March Model.*

march topic is still recognizable, given the tempo, steady accompaniment, and diatonic (albeit static) harmony accompanying the melody played by two trumpets. What is unusual about this march, however, is the fact that the first gesture (a) is three beats long, while we expect a march to be divisible by groupings of two beats. The second gesture (a') unfolds in a more normative four-beat (two-measure) pattern, which we can easily interpret as a march. However, the perception of these two measures as a march is made more difficult, given that the normative gesture is heard following a distorted version of the same music.

This issue is further complicated by the fact that while the melody played by the trumpets is missing its first beat in a, the accompaniment continues its two-beat ostinato pattern so that the second gesture begins on the opposite accompanimental beat than the first. The fact that the colored, "non-triadic" chord sounds along with the beginning of the more normative march pattern can be interpreted as further confusing the topic's expressive associations, given that the strong beat of the melody is aligned with the weak

beat of the accompaniment. The brief metrical displacement of the march topic thus distorts its high stylistic associations in the first gesture of the *Violin Concerto*, in that the missing beat and subsequent offsetting of the accompaniment obscures this topic's identity.

Distorting the march topic's duple meter lowers this music's high stylistic and expressive associations, allowing it to blend more easily with the pastoral topic with which it is troped (discussed in chapter 2). As Esti Sheinberg points out:

> If some elements of [the march topic] are presented in a way that is incongruous with its stylistic norms, e.g. by their exaggeration, then not only the musical topic of the march will be satirized, but the whole *ethics* correlated with the military (i.e. nationalism, order, obedience, as well as pomp, callousness and showing off) will be highlighted in a derogatory light.[20]

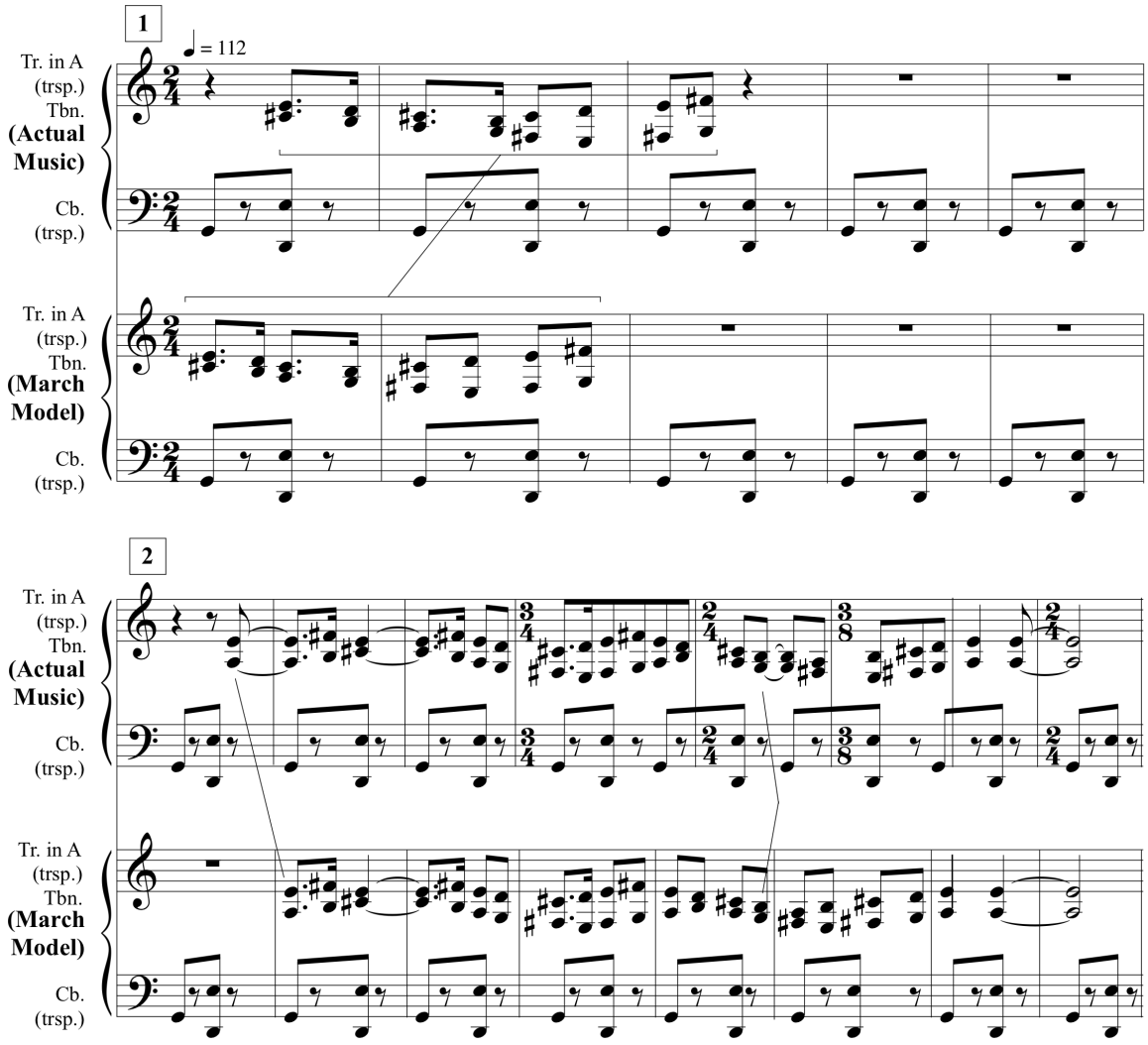
While the march topic in Stravinsky's *Violin Concerto* is not distorted to cast the topic's militaristic associations in a derogatory light, distorting the march topic's duple meter attenuates its high stylistic associations. Thus, although some ceremonial import is evoked at the onset of the work, the distortion keeps the topic from sounding overly militaristic. The distortion of the march topic's duple meter thus helps to further defamiliarize the listener from the topic's high stylistic and expressive associations, allowing the march to blend more easily with the pastoral, indicating the celebratory nature of a rustic festival.

Another example of a distorted march topic can be seen in the "Soldier's March" from *L'Histoire du soldat* (1918). After a three-measure fanfare played by the trumpet and trombone, the contrabass begins playing a simple two-beat ostinato that continues

[20] Esti Sheinberg, *Irony, Satire, Parody and the Grotesque in the Music of Shostakovich: A Theory of Musical Incongruities* (Burlington, VT: Ashgate Publishing Company, 2000), 25.

throughout most of the opening movement. While this ostinato unfolds a steady 2/4 meter, other instruments enter the texture with a variety of metrical associations, in turn creating a distorted march. For example, the trumpet and trombone enter at R. 1 with two measures of a march tune, offset by one beat (see example 3–2). Given that the ostinato outlines an implicit I–V relationship in a G major tonal center, which evokes the march topic along with the consistent march tempo, it stands to reason that the march tune should begin on the downbeat over the tonic pitch, rather than on the upbeat over the dominant. If the beginning of the march tune started on the downbeat, then this melodic gesture would fit within the first two 2/4 measures without any other rhythmic alterations. At R.2 we find another instance of march distortion in which the majority of the passage corresponds to the recomposed 2/4 march model written below, despite the changes in meter seen throughout the example. The two alterations to the march topic model made in the actual music are created through beat displacement; the first note at R. 2 begins one eighth note earlier than the recomposed march, and the G#/B dyad at R2.5 is displaced by one eighth note.

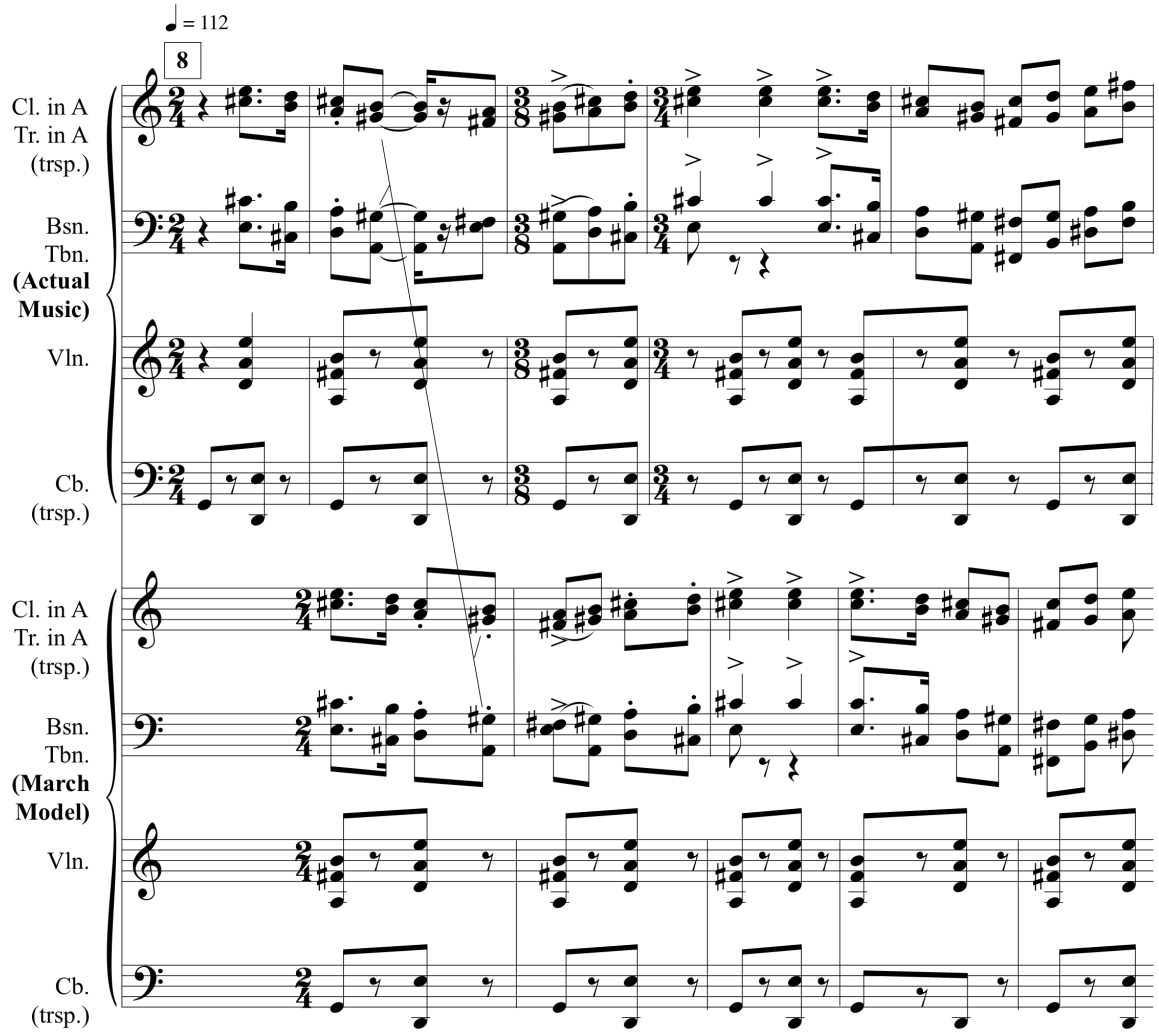
Another march topic is distorted at R. 8 by beginning over beat two of the ostinato, and through the use of beat displacement (see example 3–3). The two beat displacements occur in the second and sixth measures at R. 8, both of which are lengthened by an additional eighth note. Besides these two beat displacements, the actual music aligns with the recomposed march model throughout the rest of the example. One of the more complex examples of a distorted march topic begins at R. 11 (example 3–4). In this case the notated music starts a full two beats before my recomposed march model and interpolates three extra eighth notes in the first six measures in order to distort the 2/4




*Example 3–2:* L'Histoire du soldat*, "The Soldier's March," R. 1–3. Original and rebarred (normalized) march topic.*

metrical associations of the march topic (represented by Xs in example 3–4). Three eighth notes from my recomposed march model are then omitted in the original music (circled in example 3–4) before both versions of this passage realign for the last three measures.

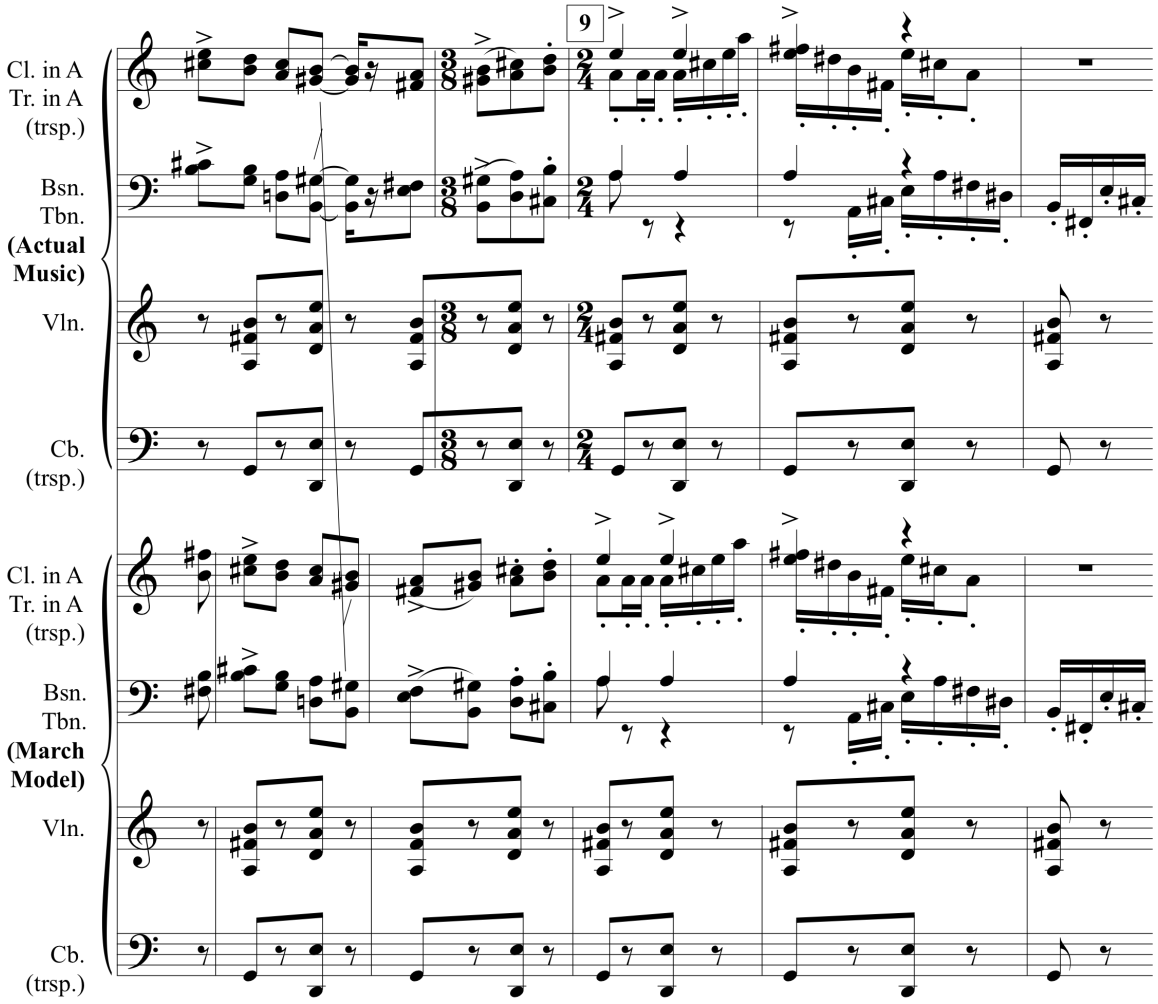
These distortions have the effect of defamiliarizing the listener as to the march topic's high stylistic identity, in turn creating lower expressive associations. As the first




*Example 3–3:* L'Histoire du soldat*, "The Soldier's March," R. 8–9. Original and rebarred (normalized) march topic.*

piece in the work, this march is used for its militaristic associations to introduce Joseph, a soldier as well as the work's protagonist. However, examining Joseph's character and the libretto's folkloric nature more closely reveals the expressive purpose behind this distorted march.[21] Despite Joseph's employment in the military, he does not exactly

[21] Richard Taruskin, *Stravinsky and the Russian Traditions: A Biography of the Works Through* Mavra, Vol. II (Berkeley, CA: University of California Press, 1996), 1295. Taruskin points out that the

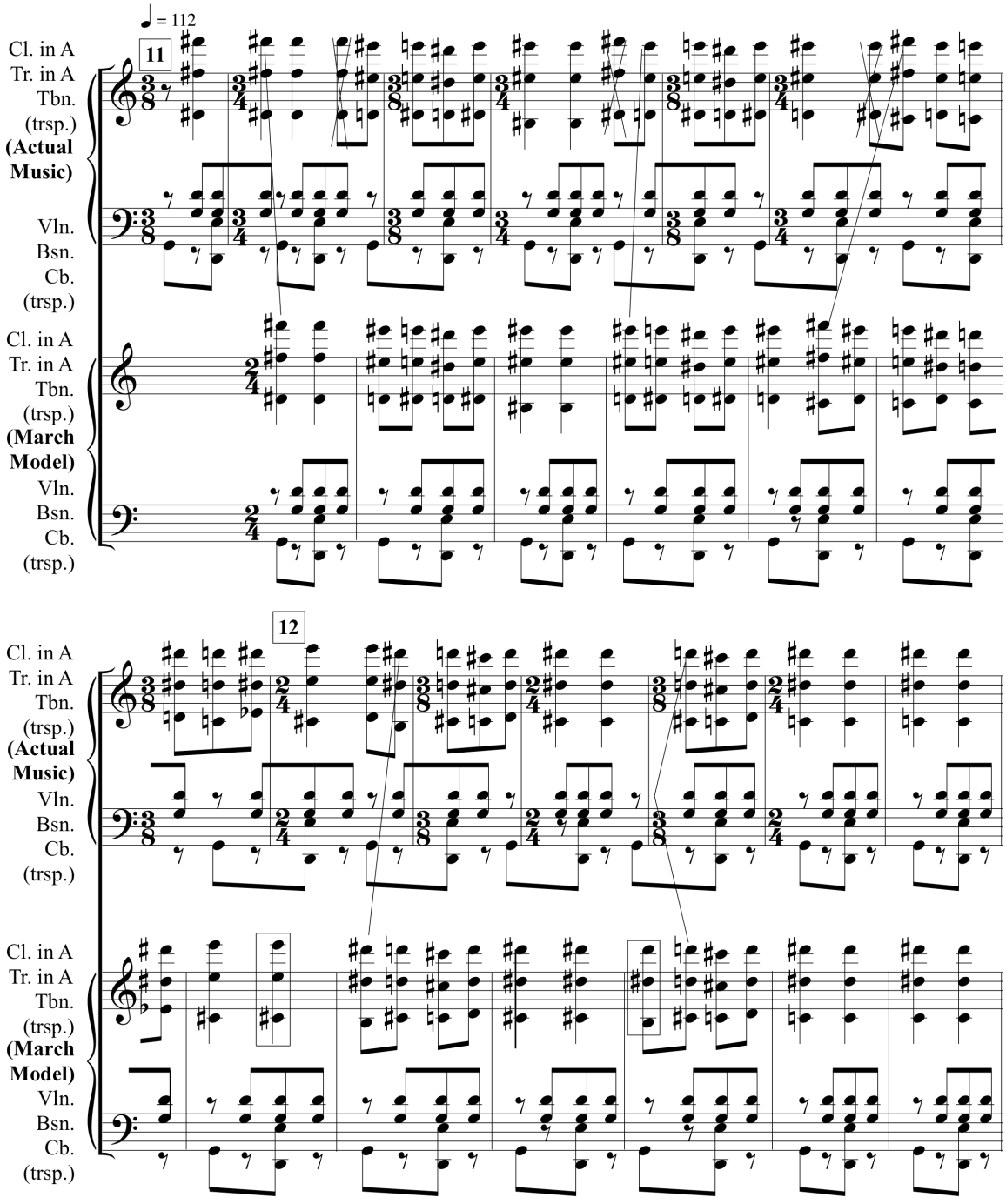



*(Example 3–3 continued)*

project the characteristics one may traditionally associate with a soldier, such as the "traditional myth of the heroic warrior" which tells of "heroism and victory," or "authority, of the cavalier and the manly virtues ascribed to him."[22] Rather, the focus of the libretto is on Joseph's lack of these virtuous characteristics. These character flaws allow the devil to easily seduce Joseph into making decisions for his personal economic

libretto, written by C.F. Ramuz, is based on the fairy tale "The Runaway Soldier and the Devil" by Alexander Afanasyev.

[22] Raymond Monelle, *The Musical Topic: Hunt, Military, and Pastoral* (Bloomington, IN: Indiana University Press, 2006), 113. Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer Books, 1980), 16.




*Example 3–4:* L'Histoire du soldat*, "The Soldier's March," R. 11–12. Original and rebarred (normalized) march topic.*

gain, though throughout the story we come to understand that this material wealth does not make Joseph as happy as he thought it would. This is undoubtedly meant to be one of the morals of the story (keeping in line with its folkloric origins), but the larger point regarding the soldier's character is summarized nicely by Richard Taruskin: "The devil triumphs not out of devilhood, but assumes the role of some sort of avenging angel exacting (on whose behalf?) a just moral retribution upon the soldier's hubris."[23] In other words, rather than the moral personality traits normally associated with soldiers, Joseph's character instead conveys qualities such as corruption and greed, which in turn help to create the libretto's dramatic trajectory.

All of the march topic's rhythmic distortions can thus be interpreted as a musical representation of Joseph's character flaws. If the regular duple meter of the march topic is used to convey the morality and virtue connected to soldiers and the military, then the distortion of this topic's even rhythmic framework defamiliarizes these associations for the listener. Like the distortion of the march topic in the first movement of the *Violin Concerto*, the distortions of the march topic in "The Soldier's March" lower its traditionally high stylistic associations. This change in expressive associations informs the listener both that the main character is a soldier while also pointing to his personality flaws that serve as part of the libretto's primary dramatic interest. The conflict between the actual music and the recomposed march model reflects the conflict between the high stylistic associations of the march topic and Joseph's non-militaristic personality traits that allow him to be tricked by the devil throughout the story.

[23] Richard Taruskin, *Stravinsky and the Russian Traditions*, 1300.

## Distorted Dances – Sarabande

"Stirring and passionate, often in a minor key, with heavily dotted rhythms and lavish ornamentation," the sarabande is a slow, stately dance in 3/4 time, often associated with the French court dances of Louis XIV, thus evoking high stylistic associations.[24] Stravinsky's three-act melodrama *Perséphone* (1933–34) is his interpretation of the Greek myth, with a libretto written by André Gide and choreography by Ida Rubinstein.[25] The beginning of Act II illustrates the title character's descent to the underworld after agreeing to try to help the shades, "a hopeless people, sad, worried, and listless (un peuple sans espérance, Triste, inquiet, décoloré)." During Persephone's descent, as Tamara Levitz points out, an "antique-sounding baroque sarabande in C-sharp minor" emerges at R62:3 from the otherwise sparse musical texture (see example 3–5).[26]

While the music has qualities that make it sound like a sarabande, examining the score more closely reveals that Stravinsky wrote this sarabande in 2/4, rather than the 3/4 meter in which this topic is traditionally composed. The fact that this sarabande is written in a 2/4 meter may thus seem to draw attention away from the topic as such, but the use of the minor mode, dotted rhythms, and ornamentation help the listener identify this music as being related to the sarabande topic. These sarabande characteristics are certainly present here, but many of these factors are also common to the funeral march topic, which is written in a 2/4 meter. The slow tempo, use of the minor mode, and dotted

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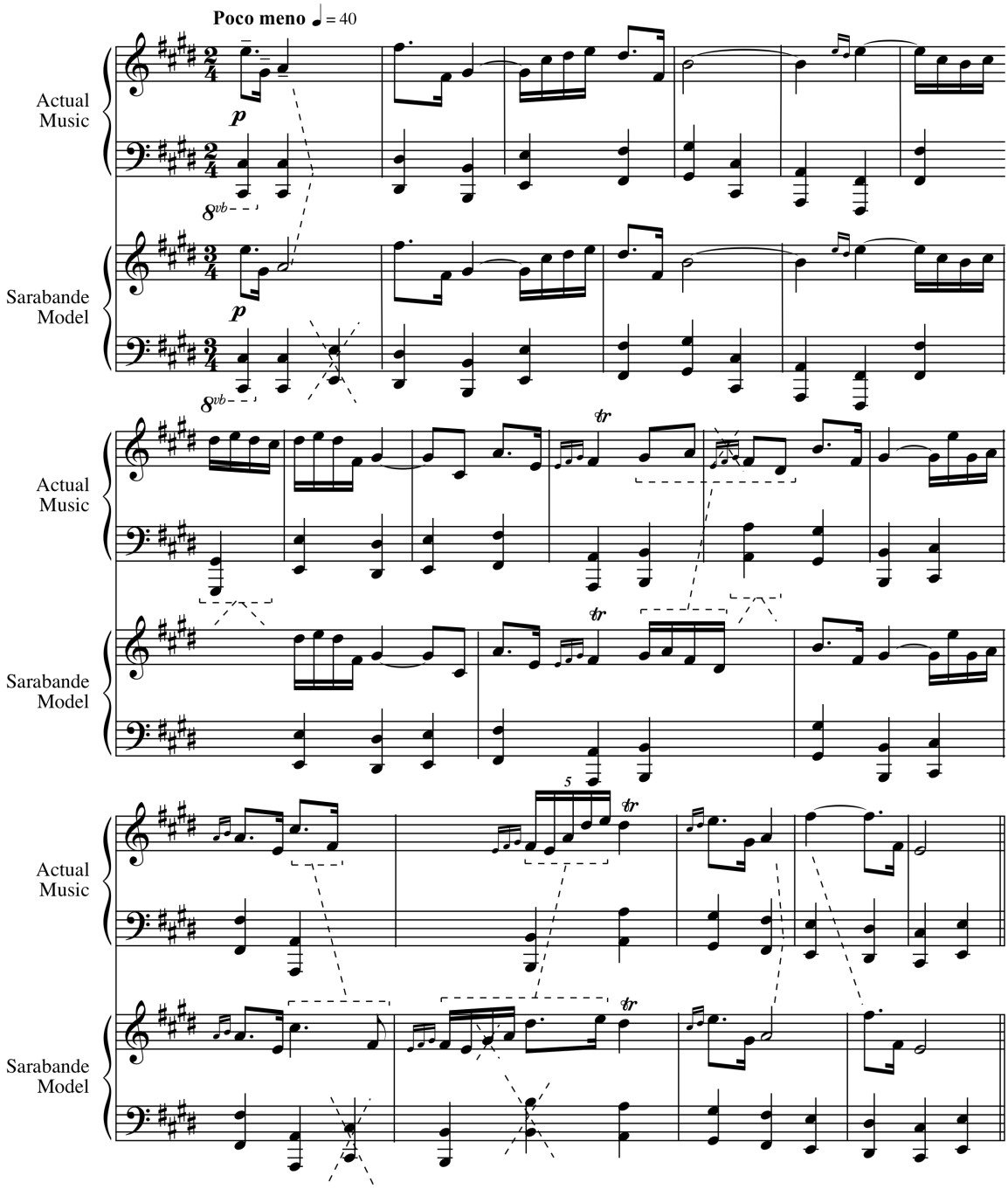
[24] Wye Jamison Allanbrook, *Rhythmic Gesture in Mozart*, 37. As Allanbrook states, even as the sarabande became more closely related to the minuet, it "still enjoyed the reputation of a noble and haughty dance," and it was distinguished from the minuet "by its slower tempo and characteristic rhythmic pattern," emphasizing beat two of the three-beat measure by an agogic or dynamic accent (quarter note/dotted-quarter note/eighth note).

[25] For a thorough microhistorical study of the composition, artistic collaboration, and reception of this work, see Levitz (2012).

[26] Tamara Levitz, *Modernist Mysteries:* Perséphone (New York: Oxford University Press, 2012), 390.




*Example 3–5:* Perséphone*, the "sarabande in 2/4" at R. 62:3, Act II*

rhythms suggest that the music at R62:3 also alludes to a funeral march:

> [The funeral march] features a ponderous duple meter, evocative of the procession of a funeral cortege, which is usually enhanced by a dark minor mode. Dotted rhythms frequently prevail in the melodic material, and the repetition of these melodies, especially when paired with a repetitive bass line, can create a sense of inevitability.[27]

These dark expressive connotations are important here, as Persephone is making her way into the underworld. Thus, the somber quality of the funeral march imbues the stately nature of the sarabande topic that characterizes this passage.

As in the above examples of distorted march topics, the sarabande here begins with a metrical distortion so as to immediately defamiliarize the listener as to the topic's identity.[28] In fact, in the first system of example 3–5, none of the actual music (save the barlines) has to change from the sarabande model, with the exception of the beat omission in the first measure, in order to preserve the topic's metrical identity. In system two, only two changes are needed: the repeated sixteenth notes in the melody are eliminated in the first measure, and the eighth notes in the third and fourth measures are reduced to sixteenth notes. The third system expands the dotted-eighth–sixteenth rhythm in the first measure into a dotted-quarter–eighth figure, breaks apart the quintuplet to make an even rhythmic subdivision of the notes, and alters the A and F# in the third and fourth measures to create a repetition of the same dotted rhythm gesture to close the segment. These changes reveal that a more typical sarabande model is not far from the musical surface, which is what allows the listener to hear the topic despite the fact that it

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[27] Janice Dickensheets, "The Topical Vocabulary of the Nineteenth Century," *The Journal of Musicological Research* 31, No. 2-3 (2012), 104.

[28] My recomposed sarabande model in example 3–5 is rebarred so as to preserve the dotted rhythm figure on the downbeat and the accentual emphasis on beat two of each measure in as many instances as possible, given that these are typical features of this topic.

is written in a 2/4 meter.

Levitz describes this sarabande's meaning partially in terms of a conflict between past and present, its antiquated nature as a Baroque dance topic in this twentieth century context clashing with the "immediate kinesthetic pleasure" created through its corporeal associations.[29] Levitz also describes this moment in terms of Stravinsky's émigré anxieties: "appearing suddenly, unexpectedly, alienated from its social meaning, and out of tune with the dramatic and emotional tenure of the scene, Stravinsky's sarabande is a stylized manner that masks his vital fear of emigrating into the unknown."[30] Thus, Stravinsky's inability to smoothly portray Persephone's travel into the underworld, expressed through the sudden appearance of this distorted sarabande topic, reflects his personal anxieties stemming from his Russian émigré status. As Levitz notes, this sarabande sounds out of place, given that nothing in the music preceding or following this point in the drama indicates the use of a sarabande topic at this point in the work.[31]

This raises questions as to why Stravinsky wrote a sarabande at all, but my contention is that the composer knew this dance topic's expressive associations and chose to use it for a specific dramatic purpose. The courtly sounds of the dotted rhythms and ornaments point to a stately expressive context, and in light of Allanbrook's metrical spectrum we can interpret the moments of sarabande distortion as attempts to further elevate the topic's expressive associations through the use of duple meter patterns that also evoke a funeral march. From a dramatic standpoint, the distorted sarabande topic

[29] For her full discussion of this sarabande, see (Levitz, 2012: 389–5).

[30] Tamara Levitz, *Modernist Mysteries*, 394.

[31] Maureen A. Carr (2002: 181–2) discusses Stravinsky's use of a quotation from *Apollon musagète* at the beginning of Act II. The dotted rhythms in this quotation do prepare the listener for the dotted rhythms in the sarabande to a degree, but the complete statement of the sarabande theme still stands out in relation to this brief quotation.

evokes Persephone's new noble status while the funeral march elements represent her journey into the land of the dead, both corporeally in the sense that the listener can envision her literally marching along with the beat, and expressively in that she is traveling to the funereal underworld. Thus, we can interpret the distorted sarabande topic as representing the nobility connected with Persephone's action of journeying to the underworld to become the Queen of the Shades.

## Distorted Dances – Waltz

The waltz has a long and complicated history, and can thus project a wide range of stylistic and expressive associations in Stravinsky's music, depending on how it is used.[32]

[32] While the focus of this discussion is on waltzes that project low stylistic and expressive associations, the musical, stylistic, and expressive background of the waltz topic has a complex history. Though the waltz originally represented low stylistic and expressive associations, as the dance became more popular at the end of the eighteenth century its composition became more sophisticated and could thus be used to represent the aristocracy. Eric McKee (2012) discusses this history in great detail. He points out (91) that the waltz originally represented low stylistic and expressive associations, being derived from a number of lower-class couple dances in triple meter originating from southern Germany, Bavaria, Austria, and Bohemia such as the "*Deutscher*, *Walzer*, *allemande*, *Dreher*, *Schwäbische Tanz*, *Schleifer*, *Strassburger*, and *Ländler*." McKee (2012: 11–2) goes on to suggest that "the waltz is an egalitarian dance that emerged from the lower-class peasant culture of Austria, Germany, and Bavaria…The waltz celebrated individuality, physical pleasure, and freedom from aristocratic convention and was considered by many to be an immoral dance." However, moving forward from these origins, McKee (2012: 12) states that "[the waltz's] ascendancy at the end of the eighteenth century as the most popular ballroom dance in Europe mirrored the social and political revolution of the time: the fall of the ancien régime and the rise of a politically powerful middle class." Janice Dickensheets suggests that by the beginning of the nineteenth century the waltz was separated into two distinct categories: the *Ländler* and the Viennese or high waltz. Dickensheets (2012: 102–3) describes the *Ländler* as "strongly diatonic and set usually in a major key; its frequent use of arpeggio figures links it to Alpine folk song, thereby suggesting peasant or rural settings," while the Viennese waltz used "periodic structures and full, balanced phrases" as well ternary form (including a trio), minor keys, and modulation, associating this type of waltz with middle and upper classes. While the *Ländler* could be used to associate the waltz with lower class origins, "many nineteenth-century dramatic works use the waltz topic as a signifier of the aristocracy, a tradition that was passed on to instrumental music as well." By Stravinsky's time, however, Julie Pedneault Deslauriers (2009: 16) points out that "other composers of the era were beginning to expose [the waltz's] genial sophistication as a thin veneer under which loomed strong undercurrents of decadence." Deslauriers' primary examples of this include Mahler Symphony No. 2, Mvt. III (1888–94), Richard Strauss' *Rosenkavalier*, Act II, "Ochs's Liebeswaltz" (1909–10), and Berg's *Wozzeck*, Act II, Scene 4 (1917–22), showing how the high class associations of the nineteenth-century Viennese waltz are defamiliarized in various ways. In other words, certain waltzes in the late nineteenth and early twentieth centuries moved away from the cultured portrayal

However, this discussion concerns waltz topics that convey low stylistic associations. One example of such a distorted waltz topic is found at R. 19 in Stravinsky's *Violin Concerto*, Mvt. I (see example 3–6). Stravinsky's own words about his asymmetrical treatment of rhythm provide some insight into how the waltz topic is distorted in this passage:

> In mathematics…there are an infinite number of ways of arriving at the number seven. It's the same with rhythm. The difference is that whereas in mathematics the *sum* is the important thing; it makes no difference if you say five and two, or two and five, six and one or one and six, and so on. With rhythm, however, the fact that they add up to seven is of secondary importance. The important thing is, is it five and two or is it two and five, because five and two is a different person from two and five.[33]

Samuel Dushkin, the original violinist for the work, builds on this quotation in his discussion of a passage in the concerto in which a "certain rhythmic accompaniment [Stravinsky] had written was at first somewhat symmetrical," but "after he had altered and altered it, the number of pulsations remained the same, but the symmetry was completely gone and the personality of the rhythmic pattern was new."[34] Eric Walter White mentions both of the above quotations in his discussion of the concerto, suggesting that the passage at R. 19 is the music to which Dushkin refers. White illustrates a waltz pattern (ex. 77a) above the music at R. 19 (ex. 77b) to show a symmetrical pattern on which the asymmetrical passage in the music itself was possibly based.[35]

As example 3–7 illustrates, my recomposed waltz model for this passage provides

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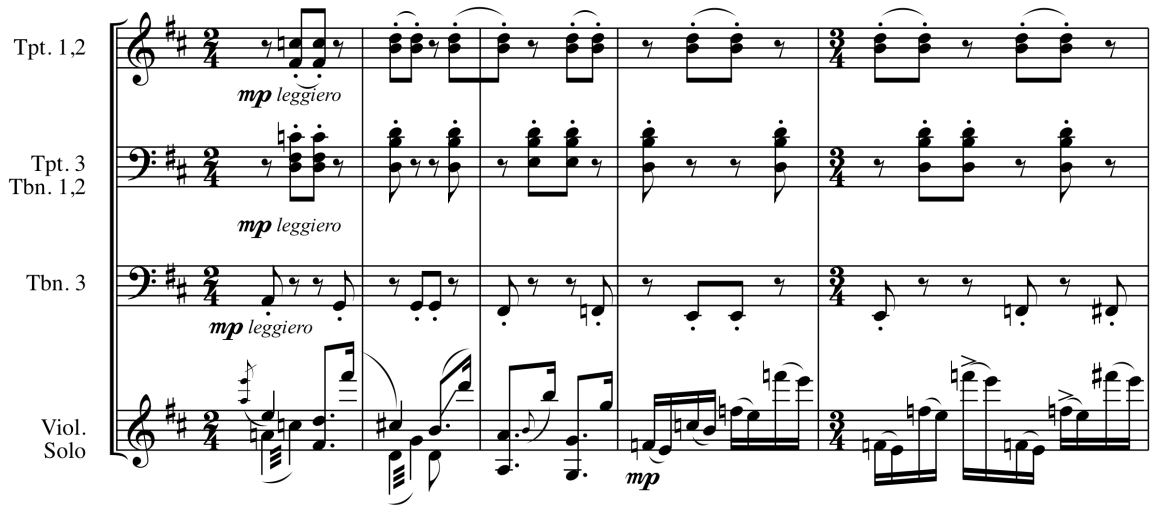
of society popularized by the previous generation in favor of projecting a more ironic view of contemporary culture.

[33] Igor Stravinsky, cited in: Samuel Dushkin, "Working With Stravinsky," in *Igor Stravinsky*, ed. Edwin Corle (Freeport, NY: Books for Libraries Press, 1969), 185.

[34] Ibid.

[35] See (White, 1979: 370), example 77a/b.

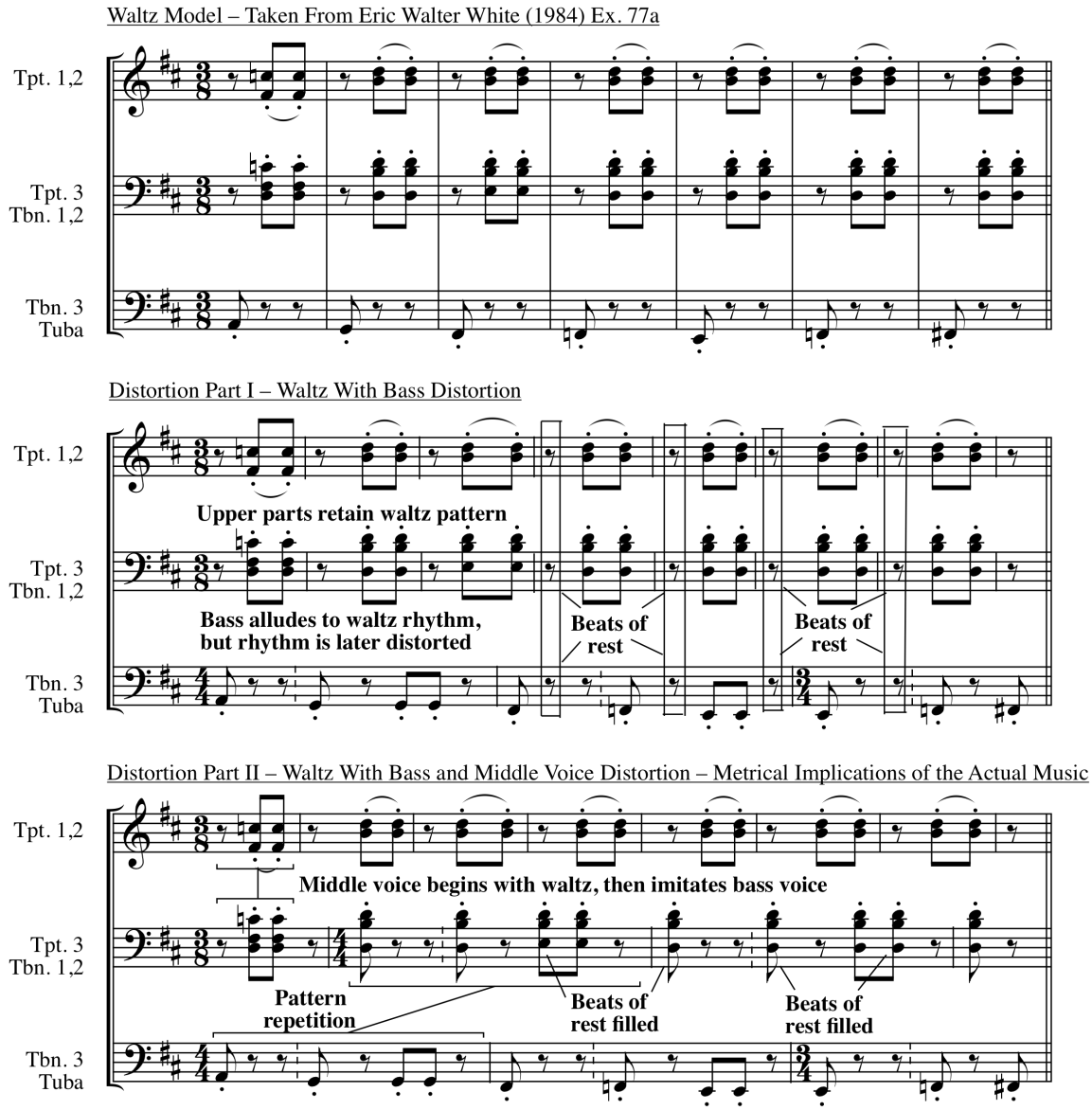



*Example 3–6:* Violin Concerto*, Mvt. I, R. 19.*

a bass note on the downbeat of each triple meter measure, followed by the two offbeat accompanimental chords.[36] Examining the transformation that takes place from this normative triple meter model to the notated music at R. 19, we see that the use of steady downbeats in the bass voices (one of the defining characteristics of the waltz topic) have been altered to fit a 4/4 pattern. Even though this altered pattern fits into the written 4/4 meter, we can see that the first two notes of each of this pattern's two repetitions continue to allude to the 3/8 meter from which it may have been derived. This 3/8 metrical allusion within the distorted pattern, along with trumpets 1/2, which play a normative 3/8 waltz pattern throughout, illustrate how Stravinsky alludes to a common waltz topic model while simultaneously altering the listener's perception of that same figure.

However, the bass voices are not the only ones that are altered in this passage. As shown in the second stave of example 3–7, if the bass voices were the only ones altered,

[36] This common waltz accompaniment pattern is closely related to some Stravinsky's earlier waltzes, such as the second of his *Trois Pieces faciles* (1915), the *Valse pour les enfants* (1917), the second of the three dances in *L'Histoire du soldat* (1918), or the waltz in the second movement of the *Octet* (1923).




*Example 3–7: Two-part process of waltz topic distortion for music at R. 19. Distorted version still alludes to waltz topic (illustrated through the dashed barlines).*

four eighth-note rests would arise between the altered bass layer and the upper two layers that continue to play the offbeat waltz accompaniment pattern. As a corrective, Stravinsky also alters the middle voices to play the same pattern introduced by the bass voices, albeit displaced by four eighth notes from the start of this section. Thus, the middle voices play the same 3/8 pattern as the upper voices once before repeating the

lower voices' pattern exactly halfway through the start of the new pattern. This creates a further level of metrical distortion while filling in the gaps created by the first step of the distortion process.

Given the static pitch content of the upper voices coupled with the stepwise, partly chromatic bass line, as well as the use of brass instruments rather than orchestral strings, we can interpret the recomposed waltz model to evoke low stylistic associations. The elements of the waltz topic that are still present in the music, such as trumpets 1/2 playing the characteristic waltz pattern, and the allusions to a 3/8 meter in the middle and lower voices, allow the listener to interpret this passage as a kind of waltz. However, I would argue that the distortion and offsetting of the three distinct layers in this passage creates a comic affect that further lowers the topic's expressive associations. The corporeal associations of the waltz topic in this passage make no sense, in that the waltz itself is not danceable, given the amount of rhythmic distortion. The lowered stylistic associations projected by this distorted waltz accompaniment support the solo violin's *buffa* gestures, in particular its use of grace notes, large registral leaps, and tremolo figures. Thus, the comical use of the distorted waltz accompaniment for the solo violin's extreme gestures create a jocular atmosphere that highlights this phrase's lighthearted quality.

Act III, Scene 2 of Stravinsky's neoclassical opera *The Rake's Progress* (1947–51) illustrates another example of a distorted waltz topic. The opera's plot concerns Tom Rakewell, who is told by Nick Shadow (the devil in disguise) that he has come into a great deal of wealth, courtesy of a distantly-related uncle who recently passed away and left Tom a large sum of money. At Tom's request, Shadow agrees to help him settle his

affairs in London for one year, after which he says Tom will pay him "whatever he himself acknowledges to be just." Throughout the opera, Shadow convinces Tom to make progressively more and more careless decisions with his money until he eventually finds himself in social and financial ruin.

Act III Scene 2 takes place in a graveyard one year and a day after Tom makes his deal with Nick. The scene opens with an introduction sung by Tom, written using the *ombra* topic, depicting the grim scene of the graveyard and capturing his fear regarding the current situation:

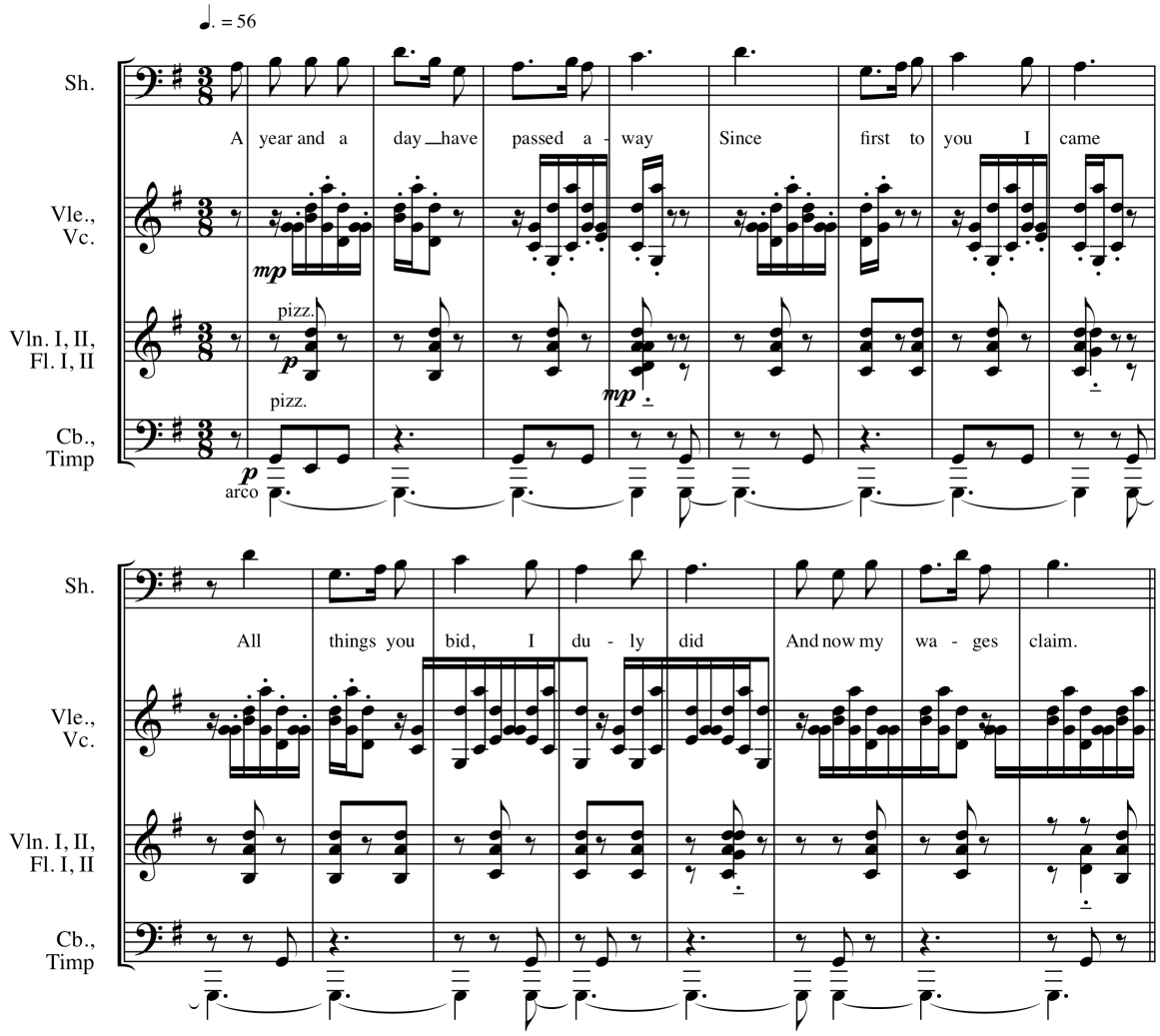
> How dark and dreadful is this place.
> Why have you led me here?
> There's something, Shadow, in your face that fills,
> That fills my soul with fear!

Nick then bursts into the G major distorted waltz depicted in example 3–8, which sounds too lighthearted given the serious nature of Nick's lyrics:

> A year and a day have passed away
> Since first to you I came
> All things you bid, I duly did
> And now my wages claim.

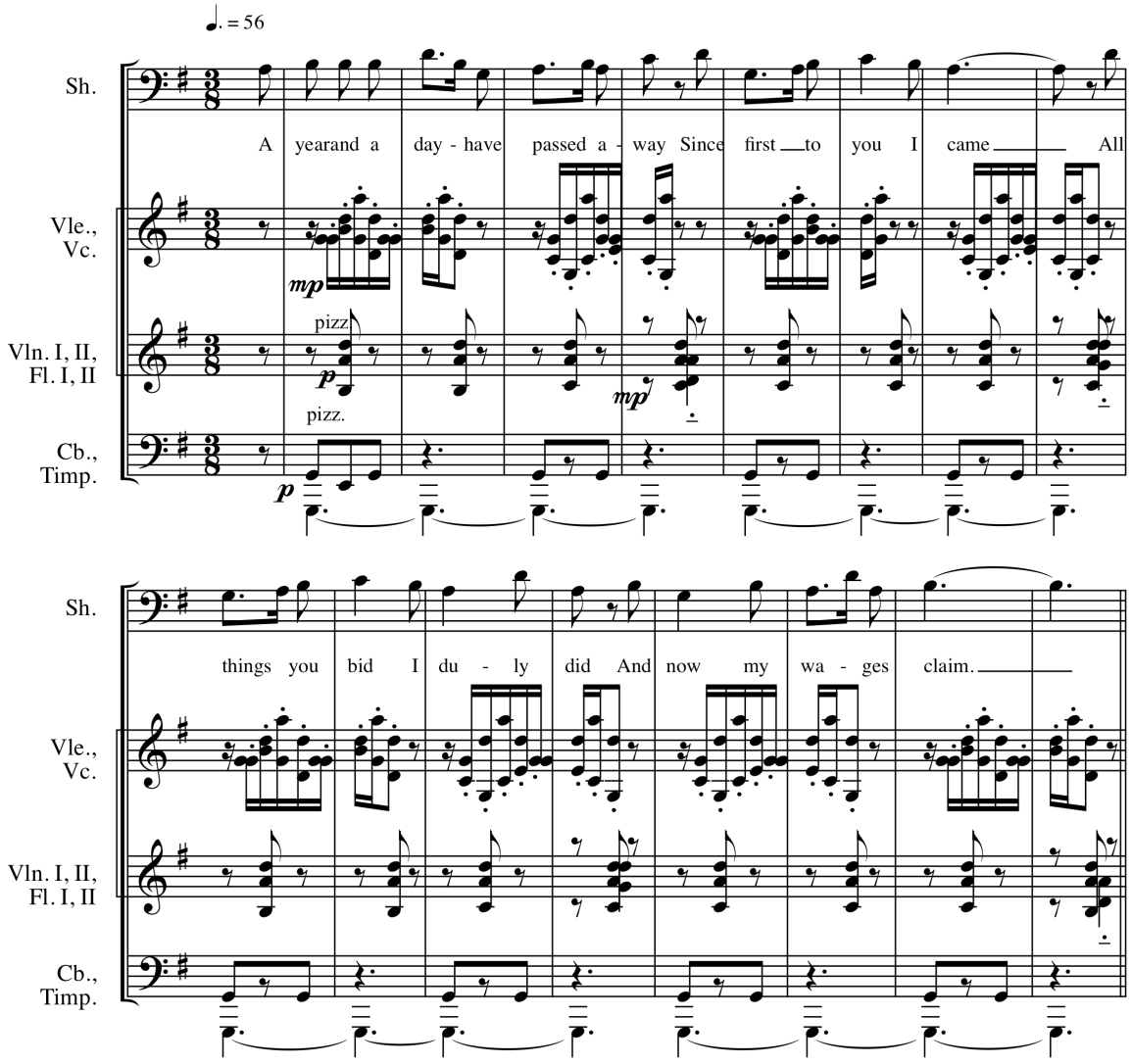
The notated 3/8 meter is maintained in each instrument for the first four measures, until the characteristic waltz pattern becomes distorted. This gradual breakdown of the waltz model is used to underscore the unsettling nature of Shadow's response to Tom's pleas, in that the "wage" Shadow seeks to claim from Tom is his soul.

Example 3–9 presents my recomposed waltz model on which this passage may have been based, if we consider all of these voices in relation to a prototypical sixteen-measure phrase. The first four measures of Shadow's vocal line adhere to this model, but




*Example 3–8:* The Rake's Progress*, Act III, Scene 2, R. 165*

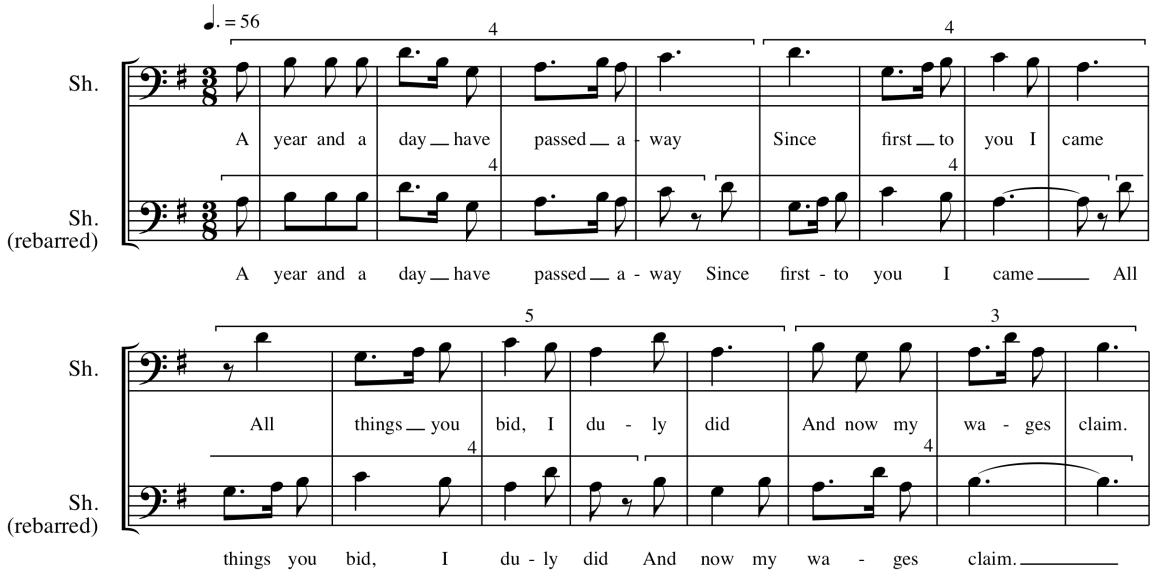
starting in the fifth measure Stravinsky begins to alter the established pattern (see example 3–10). One of the more apparent distortions in Shadow's vocal line is the absence of the eighth-note pickup after the beginning of the phrase, which takes the rhythmic emphasis away from the downbeat as we would expect from a conventional waltz. While this does not affect the 4 x 4 phrase structure of the first system, the offsetting of the following eighth-note pickup creates an asymmetrical 5 x 3 phrase structure in the second system. Moving the rhythmic emphasis away from the downbeat,



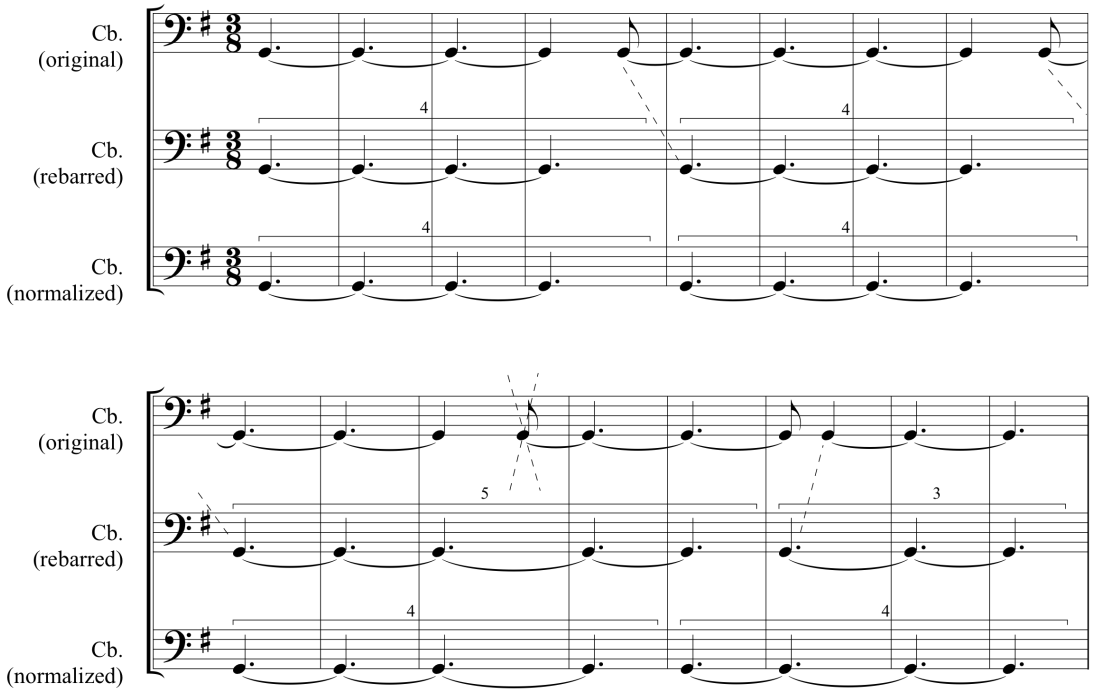

*Example 3–9:* The Rake's Progress*, Act III, Scene 2, R. 165 (normalized).*

coupled with the change from symmetrical to asymmetrical phrase structures, creates an unbalanced feeling for Shadow's music.

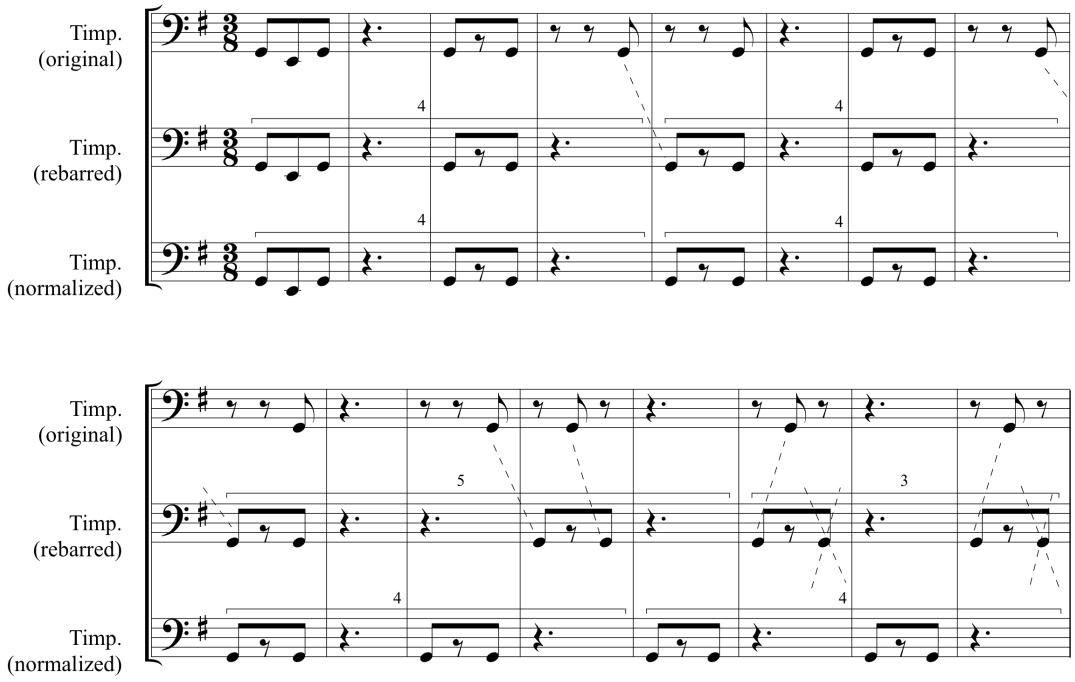
The timpani, contrabasses, flutes, and violins reinforce these distortions. Like Shadow's vocal line, each remains unaltered for the first four measures, after which each goes through its own distortion process (see examples 3–11, 3–12 and 3–13). These instruments are distorted through the use of beat displacement, each in a very similar



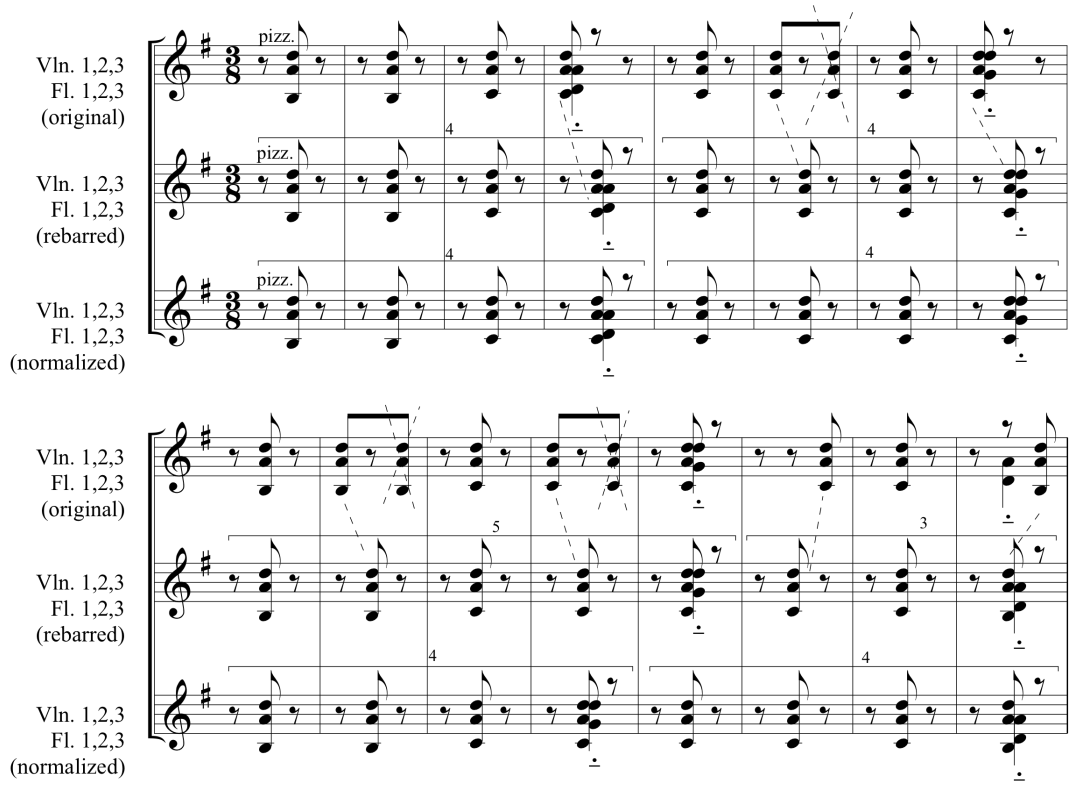

*Example 3–10:* The Rake's Progress*, Act III, Scene 2, R. 165. Shadow's vocal line in the actual music, and how it relates to the normative 3/8 waltz model*




*Example 3–11:* The Rake's Progress*, Act III, Scene 2, R. 165. Contrabass rebarred and normalized*




*Example 3–12:* The Rake's Progress*, Act III, Scene 2, R. 165. Timpani rebarred and normalized*

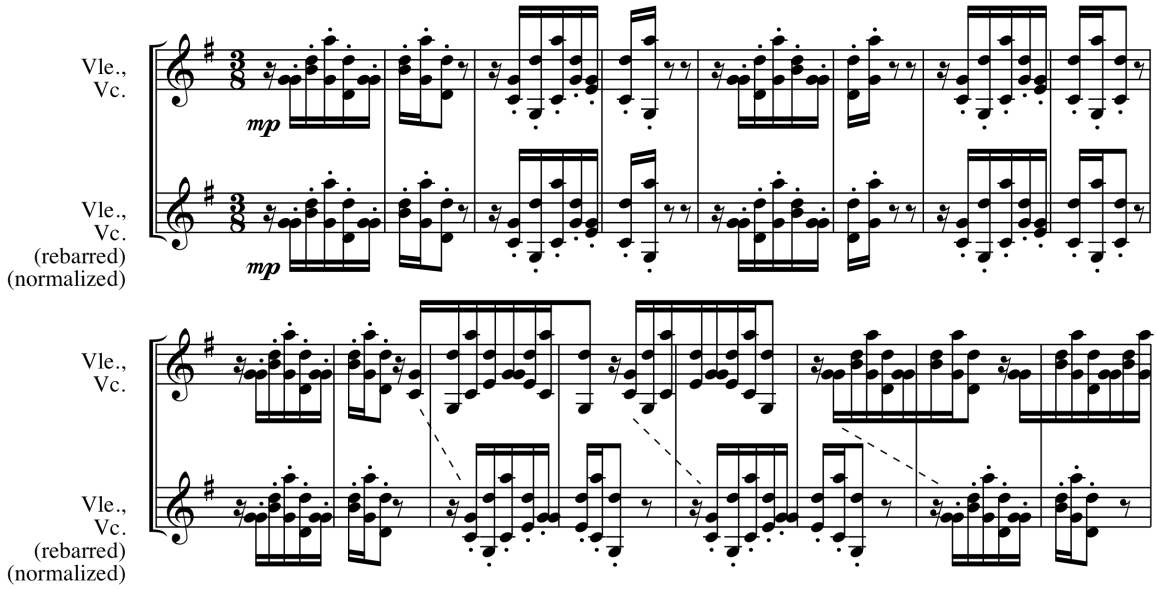



*Example 3–13:* The Rake's Progress*, Act III, Scene 2, R. 165. Violins/Flutes rebarred and normalized*

manner. For the first three four-measure sub-phrases, the distorted beats fall before where they would in a typical 3/8 waltz model. The fourth and final sub-phrase, however, reverses this trend, placing the note after the waltz model. This obscuring of the downbeat in each case distorts the regular metric emphasis characteristic of a traditional waltz, especially given the normative waltz pattern heard in the first four measures of this passage. All of the distortions that take place fit within the 4 + 4 + 5 + 3 phrase structure established in Shadow's vocal part. For this reason, I have included both rebarred and normalized versions for each instrument, showing how the distortions take place on the surface relating to the asymmetrical model, and how this asymmetrical model can be adjusted to become symmetrical.

The violas and cellos go through a slightly different distortion process, creating a further level of complexity in this passage (see example 3–14). The first eight measures provide a normative waltz accompaniment pattern, while the next eight measures use the same sixteenth note pattern heard in the first half of the phrase, albeit with one less eighth note rest between pattern repetitions. This creates an implied 5/8 meter, displacing the beginning of each pattern one additional beat away from the first note of the waltz model from which it is likely derived, further defamiliarizing the listener as to this passage's waltz topic.

The change from the G minor *ombra* topic to the G major distorted waltz topic is clearly intended to provide stylistic and expressive contrast in this scene. In this case, the *ombra* topic represents high stylistic associations, given the prevalent use of dotted rhythms, rapid fantasia-like figurations in Tom's vocal line, and chromatic harmony. This contrasts with the distorted waltz that represents low stylistic associations, further




*Example 3–14:* The Rake's Progress*, Act III, Scene 2, R. 165. Violas/Cellos rebarred and normalized*

supported by Nick's simple vocal melody (which uses the siciliano rhythm), the static harmonies seen in particular by the pastoral drone in the contrabasses and timpani, and the subtle changes in pitch content by the other instruments. Each topic thus corresponds to a different character in this scene. The *ombra* topic captures the essence of Tom's lyrics, revealing that he is afraid of both the graveyard and Nick. Given that this is the first scene in which Nick reveals his true identity as the devil to Tom, the use of the *ombra* topic for Tom's music works well to represent Tom's fear as well as the presence of supernatural forces. On the other hand, Nick's lyrics underscored with the distorted waltz topic sound ironic given the grim nature of Nick's intentions for Tom. Furthermore, if we compare this scene to the *ombra* music used in the final scene of Mozart's *Don Giovanni* in which the Commendatore drags the title character down to hell, it seems strange in this scene of *The Rake's Progress* that the mortal character (Tom) is supported

by the *ombra* topic rather than the supernatural character (Nick).[37]

I would argue that this distorted waltz topic is used to portray a macabre aspect of Nick's character. The implications of Nick's lyrics are just as serious as Tom's, but the contrast between the *ombra* and distorted waltz topics separates the perspectives of each character. Tom is afraid of Nick, but Nick is happy that he is finally able to collect Tom's soul, which he has been waiting to claim for the past year. The use of a major key, increased tempo, and change in metrical content to create this distorted waltz evokes low stylistic associations, creating a degree of irony by enhancing the incongruity between the music and Nick's lyrics, depicting a diabolical side of Nick's character.

## Distorted Tropes

Each of the preceding analyses has focused on explicating ways in which a single topic can be distorted, but the final example in this chapter examines the interactions between two juxtaposed distorted topics – a Viennese high style waltz and a gigue in the "Gigue" movement from Stravinsky's *Duo Concertante* (1931–2). While the individual distortions of each topic operate similarly to those discussed above, the troping of these two distorted topics opens up new expressive formations that result from blending each figure's disparate stylistic associations. This movement begins in the style of a gigue, which, "with the lilt of its double-leveled meter, is a happy projection of simple rustic

[37] Ratner (1980: 24) mentions this scene in *Don Giovanni* as an example of the *ombra* topic, which has been further elaborated by Allanbrook (1983) and McClelland (2012). For comparisons of this scene in *Don Giovanni* to the scene in *The Rake's Progress*, see Straus (1990: 155–61) and Chew (1993).

revels."[38] However, a new passage begins in m. 92, which Edward T. Cone describes in terms of a juxtaposition of gigue and waltz topics: "and here again the violin is imitating a violin – this time a Viennese one. And although the trio is written in 2/4, there is a waltz concealed here. In actuality the piano keeps up the steady 16ths, in which the gigue rhythm tries to assert itself."[39]

In example 3–15 the original violin music from m. 92 in the "Gigue" is reproduced in the upper staff, while my recomposed 3/4 waltz model is written below.[40] It is not difficult to imagine how Cone may have heard a waltz in this passage despite its use of a duple meter, given that much of Stravinsky's actual music corresponds to my recomposed waltz model. However, the lines between the staves indicate that certain notes are extended or shortened by one beat at various points throughout this passage, obscuring the waltz's 3/4 metrical origins.[41] These alterations may be considered in light of Lynne Rogers' sketch studies of Stravinsky's *Violin Concerto*, in which she illustrates how the composer rewrote the same passage of music multiple times to create greater levels of "dissociation" and "contrast."[42] Given that the *Duo Concertante* was written during the same year as the *Violin Concerto*, it seems reasonable to think that Stravinsky used a similar compositional approach in the "Gigue" movement, starting with a

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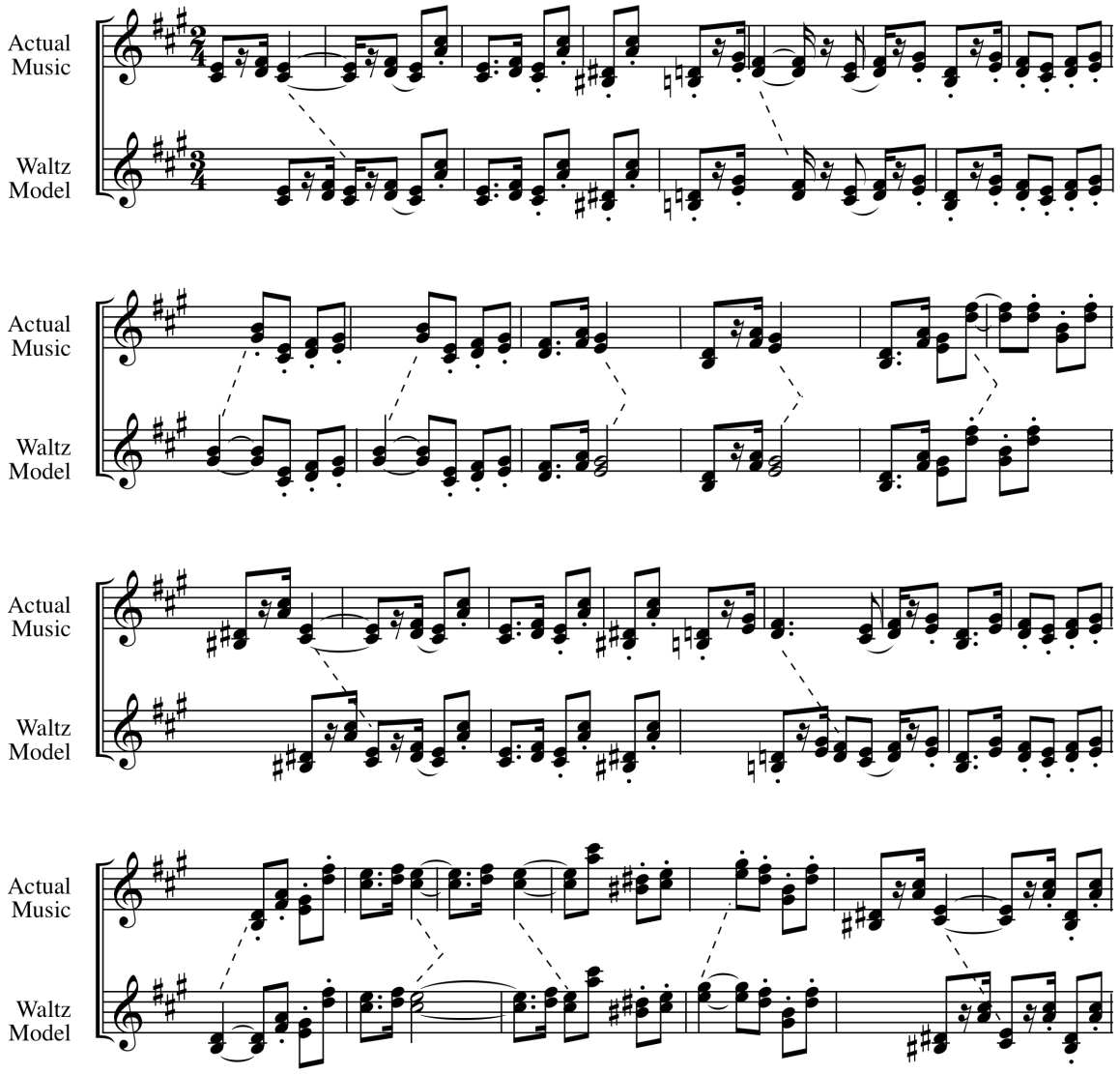
[38] Allanbrook, *Rhythmic Gesture in Mozart*, 43. Allanbrook (1983, 42) also suggests that the gigue was "originally a folk dance, of rather vulgar origin, and when refined into a *danse noble* it still retained those country associations."

[39] Edward T. Cone, "Stravinsky's Version of Pastoral," in *Hearing and Knowing Music: The Unpublished Essays of Edward T. Cone*, ed. Robert P. Morgan (Princeton, NJ: Princeton University Press, 2009), 184.

[40] If one looks more closely at the 2/4 waltz that Stravinsky wrote, it is possible see certain patterns and motives emphasized throughout this passage, namely the use of dotted rhythms at the beginning of each measure. My recomposition of this waltz preserves these dotted rhythms in their original metrical positions as much as possible, while taking care to rewrite the rest of the example in 3/4.

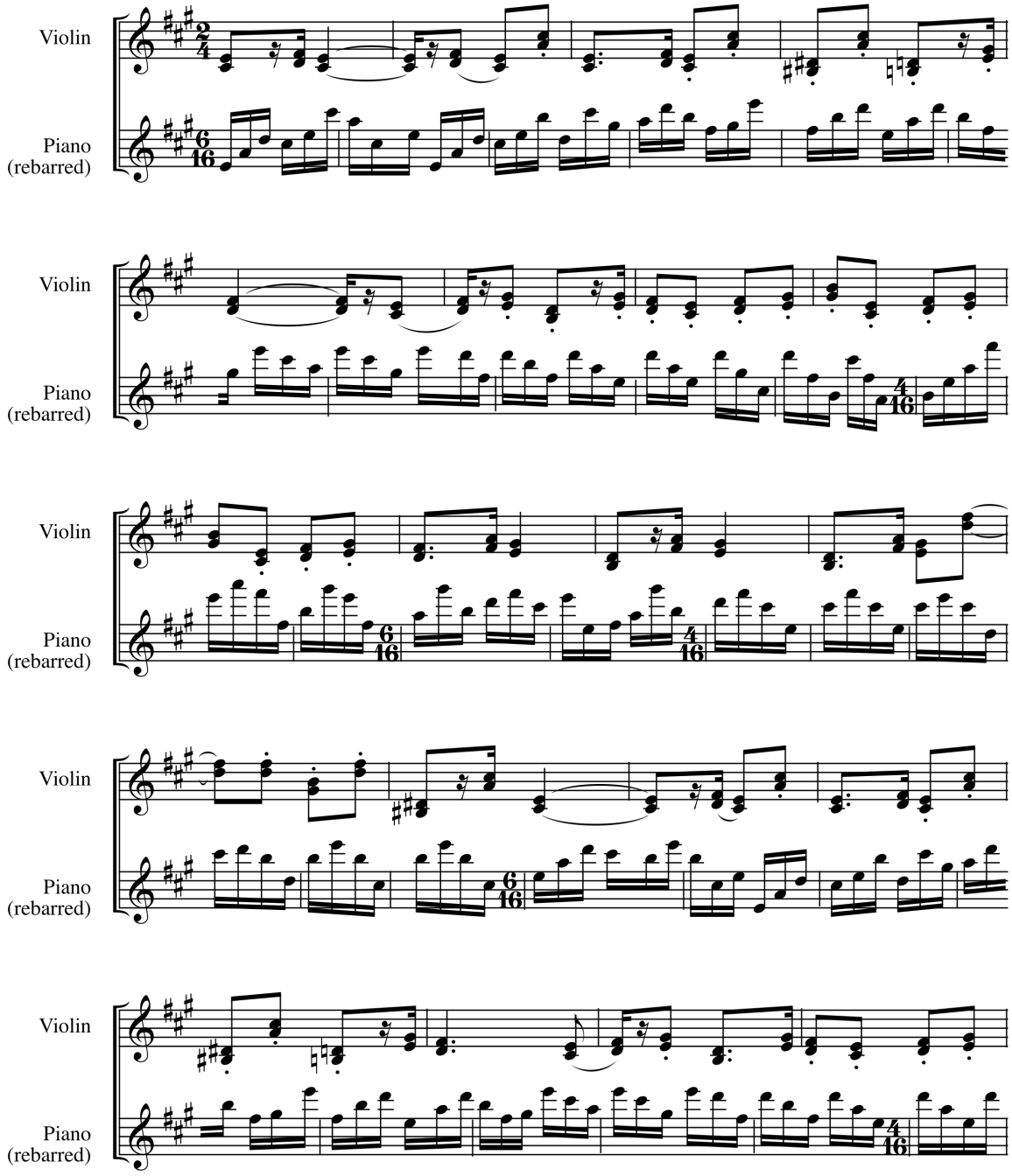
[41] As my recomposed waltz model illustrates, many of the added beats occur on beat two (six in total), though one is added to beat 2+ (staff 2, m. 5). On the other hand, most of the omitted beats are taken from downbeats (four in total), though there are also three beats omitted from beat 2 of the model (staff 2, mm. 3 & 4, staff 4 m. 2).

[42] See (Rogers: 1995, 1999).

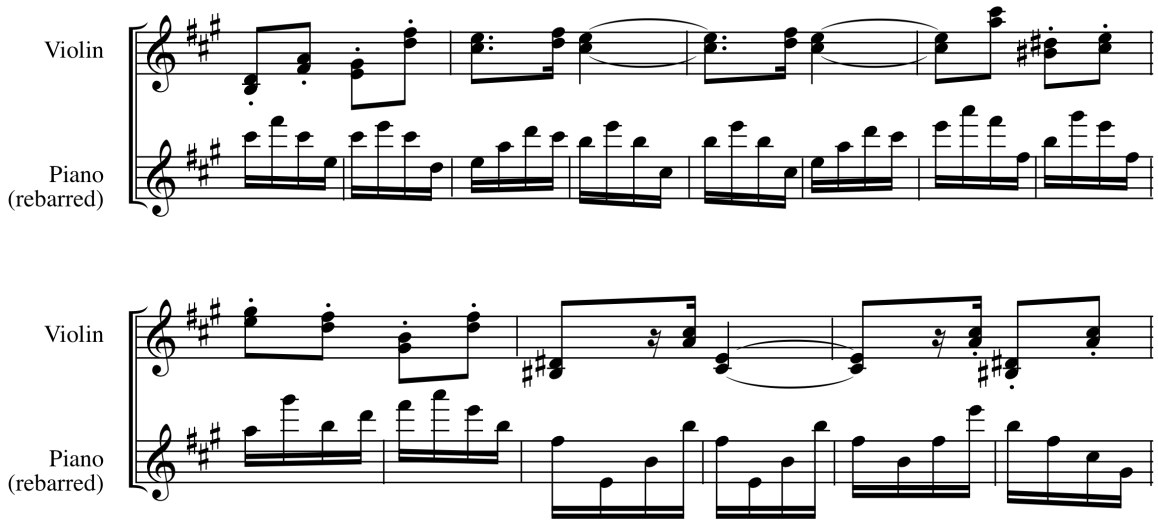



*Example 3–15: The "concealed waltz" in* Duo Concertante*, Mvt. IV, mm. 92–118*

normative waltz model and distorting it in order to change its musical and expressive associations. Similarly, example 3–16 illustrates the original violin music with a possible rebarred version of the piano music below. Cone describes the piano in this section as a gigue trying to assert itself, which can be heard most clearly in the similar melodic and rhythmic content from the previous 6/16 gigue section in the movement. However, some of these piano figures imply a 4/16 meter, given the metrical distortions primarily created




*Example 3–16: Piano rebarred to show allusion to gigue pattern against the violin's distorted waltz*




*(Example 3–16 continued)*

by juxtaposing similar groupings of four sixteenth notes.

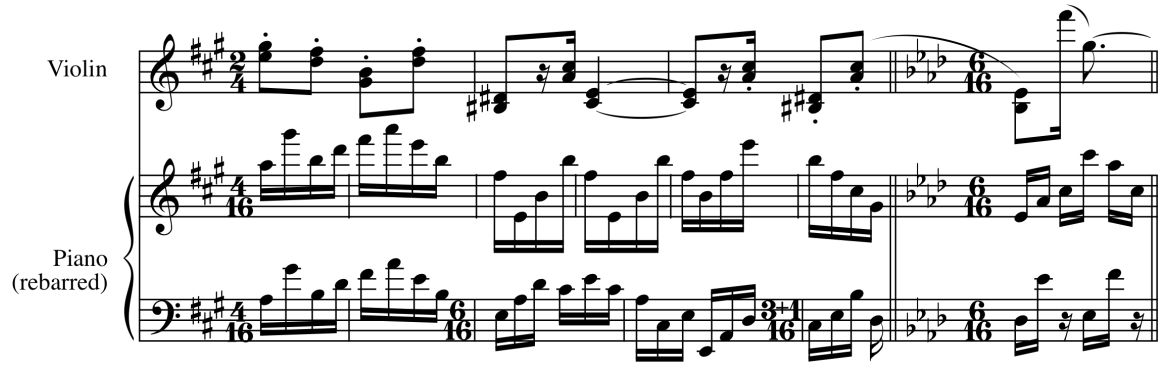
Comparing the musical attributes of both instruments, we see that while the violin's waltz begins with a metrical distortion, the piano's gigue continues in a 6/16 pattern similar to the previous section. Though it is more typical for Stravinsky to begin a phrase with some type of distortion, examining the two topics together reveals that a conflict is created by pairing the metrically altered waltz with the metrically unaltered gigue. By initially distorting the waltz and maintaining the gigue pattern, Stravinsky creates a high level of rhythmic and metric dissonance between the violin and piano, in turn defamiliarizing the listener's interpretation of their respective topics.

While much of this passage is characterized by the rhythmic and metric conflict between the waltz and gigue topics, there are certain moments in which both instruments seem to align with one another. For example, the implied 4/16 figures in the piano's gigue provide moments of alignment with the violin's 2/4 waltz, which stand out amidst the metrical dissonance within and between the instruments. This is perhaps most

noticeable in the final seven measures of this phrase, in which both instruments project similar duple meter characteristics. However, in the final two measures, the right hand of the piano continues to play in a 4/16 meter while the left hand returns to material from the beginning of this phrase in a 6/16 meter, creating a further level of metrical dissonance (see example 3–17). Thus, while much of the phrase does illustrate both violin and piano in alignment, the section ends as it began, by defamiliarizing the listener as to this passage's topical allusions through the use of metric dissonance between the two instruments.

The expressive implications of this juxtaposition are complex, given the high level of distortion in both the piano and violin, and the fact that the gigue represents low stylistic associations while the waltz, as Cone suggests, is Viennese or high style in nature.[43] Considering the conflict created through the combination of these two topics in terms of Allanbrook's theories, we can understand that both topics are distorted in order to evoke higher stylistic and expressive associations. The Viennese waltz is rewritten to be in 2/4, implying higher stylistic associations than my recomposed 3/4 waltz model conveys. The gigue, on the other hand, is written in a 6/16 meter throughout much of this passage, though the brief moments written in a 4/16 meter also point to higher stylistic associations. The fact that these distorted topics align when they both imply a duple meter is significant, given that these moments illustrate that both topics are distorted in a similar manner to evoke higher stylistic associations. These similar metric implications indicate that the violin's waltz and the piano's gigue are working to find a shared

[43] Janice Dickensheets, "The Topical Vocabulary of the Nineteenth Century," 103. This characterization of the waltz topic's high stylistic associations is confirmed through the passage's antecedent-consequent phrase structure that provides a sense of balance, as well as the prevalent use of dotted rhythms throughout the violin music.




*Example 3–17: Metrical dissonance in piano's left and right hands in the final measures of the waltz section*

expressive space rather than one of conflict generated by the expressive associations of their disparate topical content. In other words, the distortion and juxtaposition of these two topics aims to create a shared expressive space in which both waltz and gigue topics convey similar high stylistic associations, forming a unique arrangement that celebrates unity amidst the conflict projected throughout much of the passage.

# Chapter 4
# Formal Models and Topical Prominence in Stravinsky's Neoclassical Works

*"Far from implying the repetition of what has been, tradition presupposes the reality of what endures. It appears as an heirloom, a heritage that one receives on condition of making it bear fruit before passing it on to one's descendants."*[1]

## Introduction

The current chapter addresses issues of how topics are utilized within different types of large formal structures. As Mary Wennerstrom points out, "structure in the music of the twentieth century is a result of a combination of old 'forms,' new vocabulary, and innovative shaping processes."[2] This connection between old and new is of particular importance for Stravinsky's neoclassical music, given his adaptation and modification of traditional formal models. An analysis of Stravinsky's forms thus requires both an understanding of the classical models on which he draws, as well as a flexibility in determining how these structures are adapted to fit the needs of a particular piece.

There are many ways in which topics and tropes can be incorporated into a particular formal structure, but as William E. Caplin observes, definitive relationships between topics and form are dubious at best:

> If form is conceived as a succession of functions at multiple levels in the hierarchy of a work, then an essential condition for relating a given musical topic to a given formal function is that the topic itself embody specific form-defining characteristics. In the absence of such characteristics, how can we even speak of topic relating to form?[3]

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[1] Igor Stravinsky, *Poetics of Music in the Form of Six Lessons* (Cambridge, MA: Harvard University Press, 2003), 57.

[2] Mary Wennerstrom, "Form in Twentieth-Century Music," in *Aspects of Twentieth-Century Music*, ed. Gary E. Wittlich (Englewood Cliffs, NJ: Prentice-Hall, Inc., 1975), 4.

[3] William E. Caplin, "On the Relation of Musical *Topoi* to Formal Function," *Eighteenth-Century Music* 2, No. 1 (March, 2005), 115.

Caplin's point that immutable relationships between most topics and formal locations do not exist is well taken, as topics are typically used flexibly with regard to their function in a given musical form.[4] As Caplin notes, "formal functionality and expressive topicality tend to enter into informal, ad hoc relationships, ones that must be analysed on a highly individual basis."[5] In a more recent article, Caplin also points out that "the appearance of any given topic must ultimately be integrated into the compositional fabric in ways that conform to the structural goals intended by the composer."[6] Topics can play an important role in our understanding of form, but in the absence of a strict relationship between topics and formal functions, both the formal and topical elements of each piece must be examined individually in order to interpret how they interact.

The analytical techniques used in the first two chapters of this dissertation are retained here, but Hatten's concept of "expressive genre" will be adopted for interpreting the expressive trajectory of large-scale formal structures. Hatten defines expressive genres as a "category of musical works based on their implementation of a change of state schema (tragic-to-triumphant, tragic-to-transcendent) or their organization of expressive states in terms of an overarching topical field (pastoral, tragic)."[7] These two categories will prove useful for analyzing how the expressive elements of individual topics and tropes interact to create a sense of an overarching expressive background.

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[4] William E. Caplin, "Topics and Formal Functions: The Case of the Lament," in *The Oxford Handbook of Topic Theory*, ed. Danuta Mirka (New York: Oxford University Press, 2014), 416. Caplin divides Agawu and Monelle's "Universe of Topics" into three categories based on their relation to *beginning*, *middle*, and *ending*, as well as *before-the-beginning* and *after-the-end* functions: (1) no formal relation, (2) possible formal relation, and (3) likely formal relation. Caplin discusses the lament topic in more detail in this article, which he discusses with regard to its ability to function in *beginning*, *middle*, and *ending* contexts.

[5] William E. Caplin, "On the Relation of Musical *Topoi* to Formal Function," 124.

[6] William E. Caplin, "Topics and Formal Functions: The Case of the Lament," 449.

[7] Robert S. Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (Bloomington, IN: Indiana University Press, 1994), 290.

As Stravinsky rarely employs traditional forms in a strictly conventional manner, this chapter examines the composer's appropriation of four common forms – ternary form, theme and variations form, sonata form, and cyclic form – in his neoclassical music in order to determine some of the ways in which topics can be used within them. One important concept connecting the following analyses is the idea that topics and their expressive associations are often used to distinguish between formal sections, and in so doing become as prominent as other, more traditional compositional elements, such as harmony. Other parameters still play a role in Stravinsky's formal processes, but in the absence of the strict tonal relationships that define many classical formal procedures, topics are often foregrounded in order to develop, vary, or contrast a musical idea. Furthermore, analyzing the topical makeup of these structures allows us to interpret the work's expressive genre.

## Ternary Form

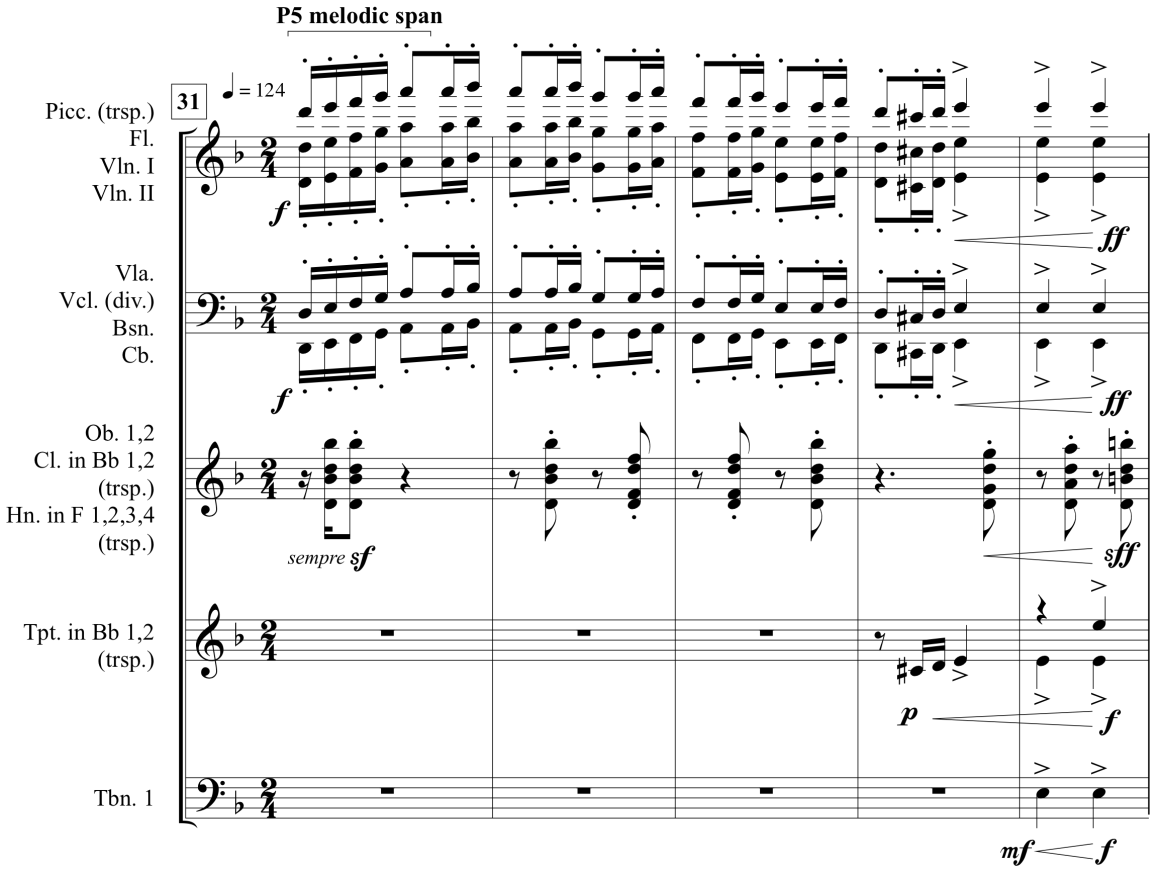
As Wennerstrom points out, one of the most basic ways in which twentieth-century composers organize their musical materials is in a "traditional 'ternary' form – ABA – which combines elements of contrast and restatement into a balanced whole."[8] The use of ternary form is common for Stravinsky and topics often play an important role, both for providing contrast and correspondence between distinct formal sections. By analyzing these topical contrasts we can interpret the relationships between these larger sections, and in turn the expressive meaning generated by their connection.

[8] Mary Wennerstrom, "Form in Twentieth-Century Music," 5.

The beginning of the third movement of *Four Norwegian Moods* (1942), titled "Wedding Dance," is written in the style of a folk dance, and is likely based on a theme taken from a collection of Norwegian folk music Stravinsky's wife discovered in Hollywood (see example 4–1).[9] Written in a D minor tonal center, the movement's brief A section (mm. 1–20) begins with a five-measure phrase that is then repeated, after which a contrasting five-measure phrase is introduced and then modified in its repetition. The character of this A section is serious, given the minor modality, loud dynamic, aggressive rhythmic character, and balanced phrase structure, though the stylistic associations conveyed here are lowered by the folk character of the simple scalar melody and repetitious pitch content.

This musical idea is cut off abruptly at the beginning of the contrasting B section with the introduction of a distorted waltz topic written in a G major tonal center (see example 4–2). As my recomposed waltz model in example 4–2 illustrates, a characteristic 3/8 waltz pattern is played by the bassoons and tuba, which play G–D on the downbeats (alluding to a prototypical tonic-dominant relationship), and the horns which provide the two weak-beat accompanimental chords. In Stravinsky's notated music, the ascending gesture of the melodic phrase aligns with the accompaniment, but the descending gesture is offset by one eighth note, creating a misalignment in which the melodic voices play a 2/4 pattern over the 3/8 accompanimental voices. The one distortion of the 3/8 accompaniment pattern occurs in the third measure of this phrase, which restates the tonic G one eighth note early, allowing the second iteration of the melody to realign with the accompaniment as it did in the first measure. As if to further highlight the distortion of

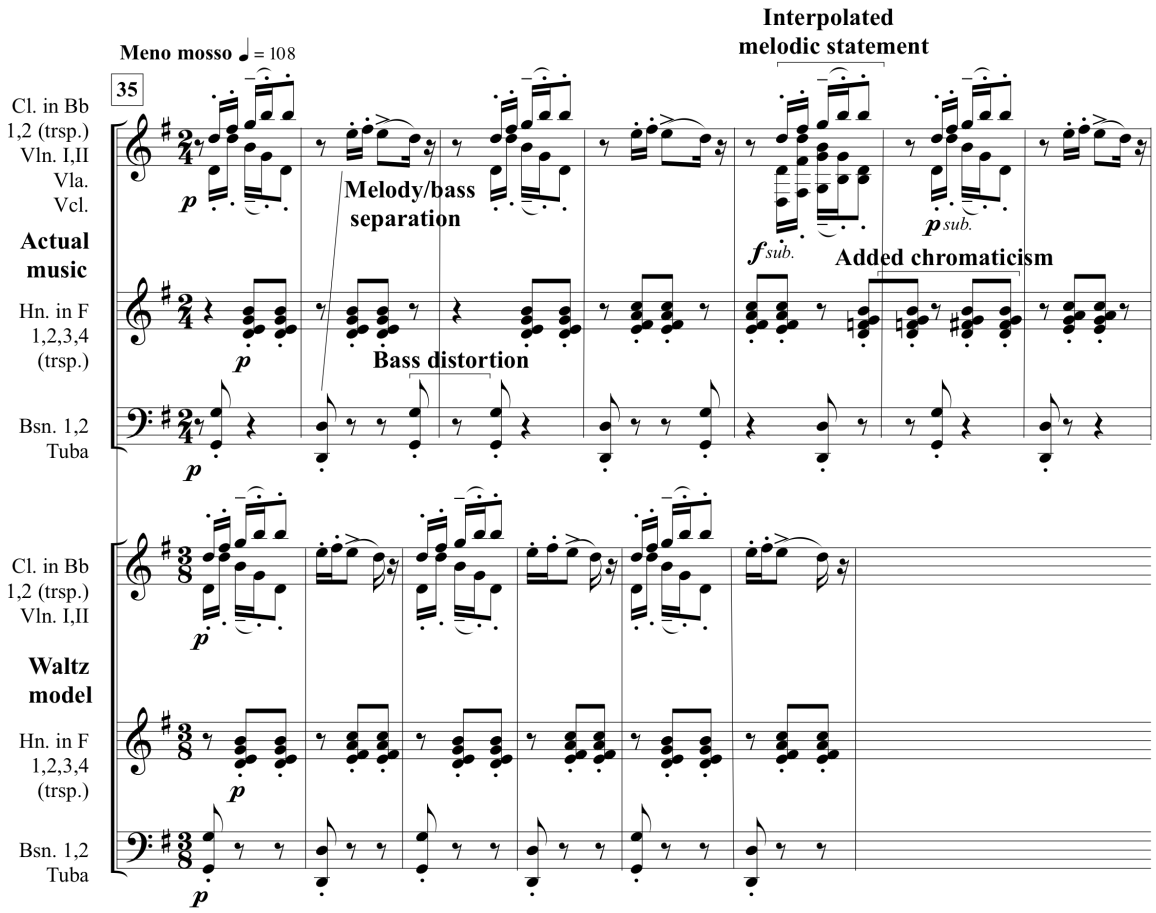
[9] Eric Walter White, *Stravinsky: The Composer and His Works*, 2nd ed. (Berkeley, CA: University of California Press, 1979), 414–15.




*Example 4–1:* Four Norwegian Moods*, Mvt. III "Wedding Dance," R. 31*

this pattern, Stravinsky interpolates an extra statement of the ascending melodic gesture in the fifth measure of this phrase marked *subito forte*. Moreover, the accompaniment pattern at this point introduces chromatic pitches, accentuating the fact that this added measure distorts the phrase structure of the hypothetical waltz model.

This waltz is related to a *Ländler* and thus evokes low stylistic associations. In particular, given its simple diatonic character and highly repetitive nature, this music sounds more like a caricature of a waltz than many of the other, more metrically




*Example 4–2:* Four Norwegian Moods*, Mvt. III "Wedding Dance," R. 35. Original and rebarred (normalized) waltz topic.*

normative waltzes Stravinsky had written previously.[10] The distortions of the waltz pattern have a comic effect, in turn lowering this topic's stylistic associations even further. Stravinsky thus uses the contrasting B section of this movement to play with the concept of a dance at a wedding. Considering that this is the third movement, and that the previous two movements have also used folk tunes as the basis for their melodic material, we can interpret the folk dance in the A and A' sections to be the unmarked material in

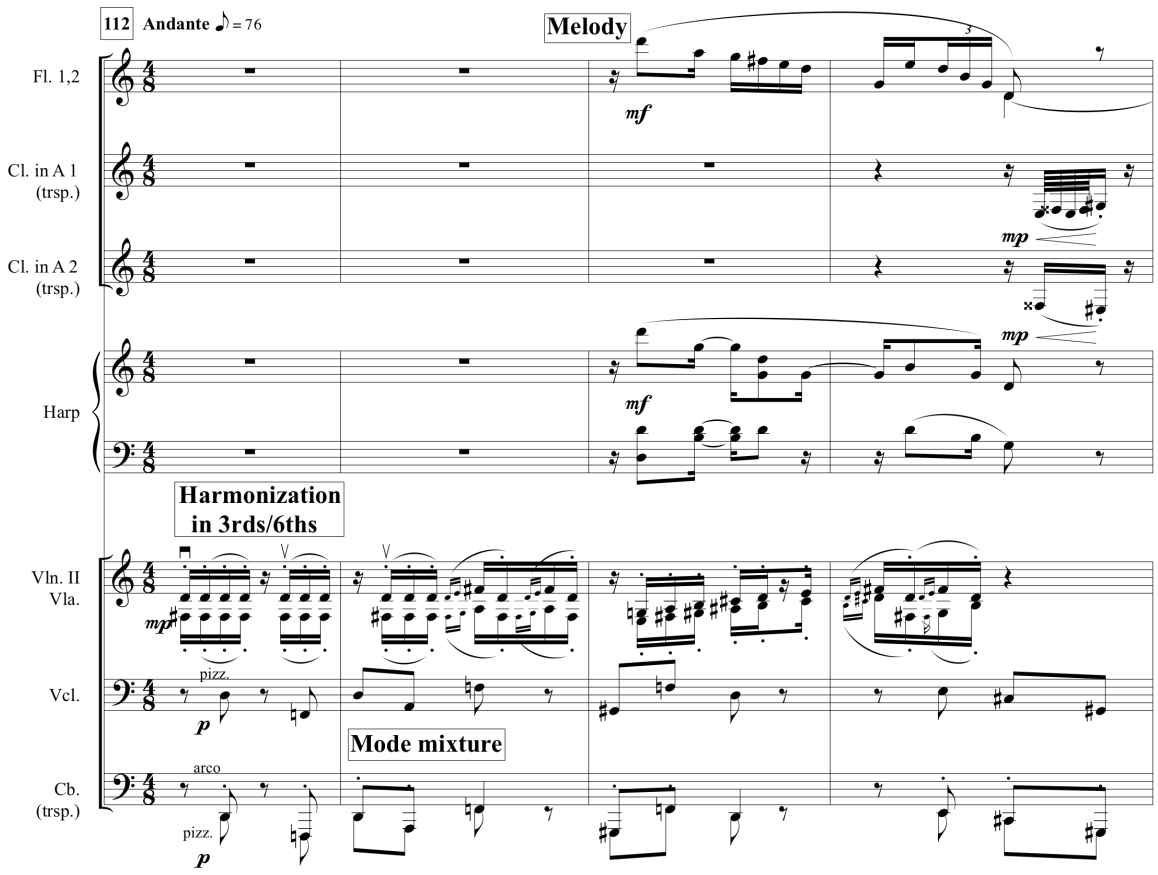
[10] The second of Stravinsky's *Trois Pieces faciles* (1915), the *Valse pour les enfants* (1917), the second of the three dances in *L'Histoire du soldat* (1918) and the second movement of the *Octet* (1923) use a consistent waltz pattern throughout.

this movement. By incorporating a distorted waltz to interrupt the more serious folk dance in the A section, Stravinsky disrupts the flow of this movement to provide a sense of comic relief from the dramatic imagery depicted in the outer sections.

The distorted waltz topic in the B section thus provides a high level of contrast with the folk dance in the A/A' sections. Ultimately, it is the fact that both of these topics are dances that allows us to interpret the comic affect and transformation of the folk wedding dance into a distorted waltz. But the comic interlude of the B section is fleeting as the return of the A section reasserts the movement's overarching somber expressive genre. This B section thus represents an extreme case of a contrasting middle in a ternary form, given the dissimilar dance style and expressive state from that heard in the A/A' sections, and the abrupt manner in which the music changes between formal sections.

The second movement of Stravinsky's *Symphony in Three Movements* (1942–5) is also written in a ternary form, contrasting the pastoral topic in the A/A' sections with the *ombra* topic in the B section. However, in contrast with *Four Norwegian Moods*, a musical bridge using the hymn topic connects these sections, in turn creating an arch form. While these bridges serve a transitional function in connecting the A/A' and B sections of the ternary form, they also serve an expressive purpose by linking their disparately related topics. These bridges add a formal feature not heard in *Four Norwegian Moods*, and thus represent a different compositional solution to the issue of connecting contrasting and even unrelated A and B sections.

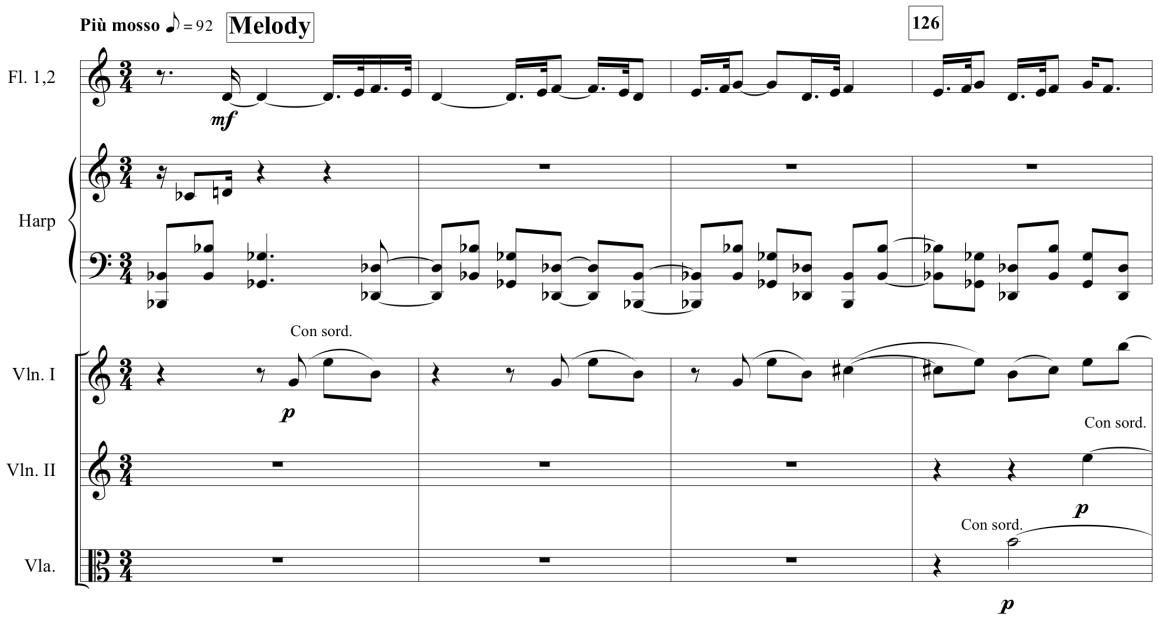
The A/A' sections embody the pastoral topic, indicated by the diatonic accompaniment harmonized in thirds and sixths, and the flute's diatonic melody (see example 4–3). However, while the violins, violas, flute, and harp play from a mostly




*Example 4–3:* Symphony in Three Movements*, Mvt. II, R. 112*

diatonic D major collection (except for the viola's G#/A# in the third measure), both clarinets play an E#/G# dyad in the fourth and fifth measures, and the cellos and contrabasses perform a primarily D melodic minor collection (including a flexible G♮/G#). The overall topical content of this passage is distinctly pastoral, but these modal conflicts suggest that a sense of foreboding subtends the otherwise tranquil scene depicted by the violins, violas, flute, and harp.

The B section provides contrast to the pastoral topic in the outer sections through the use of the *ombra* topic (see example 4–4). The increased tempo (BPM = 92, from 76 in the A section) and use of dotted rhythms indicate a heightened level of restlessness.

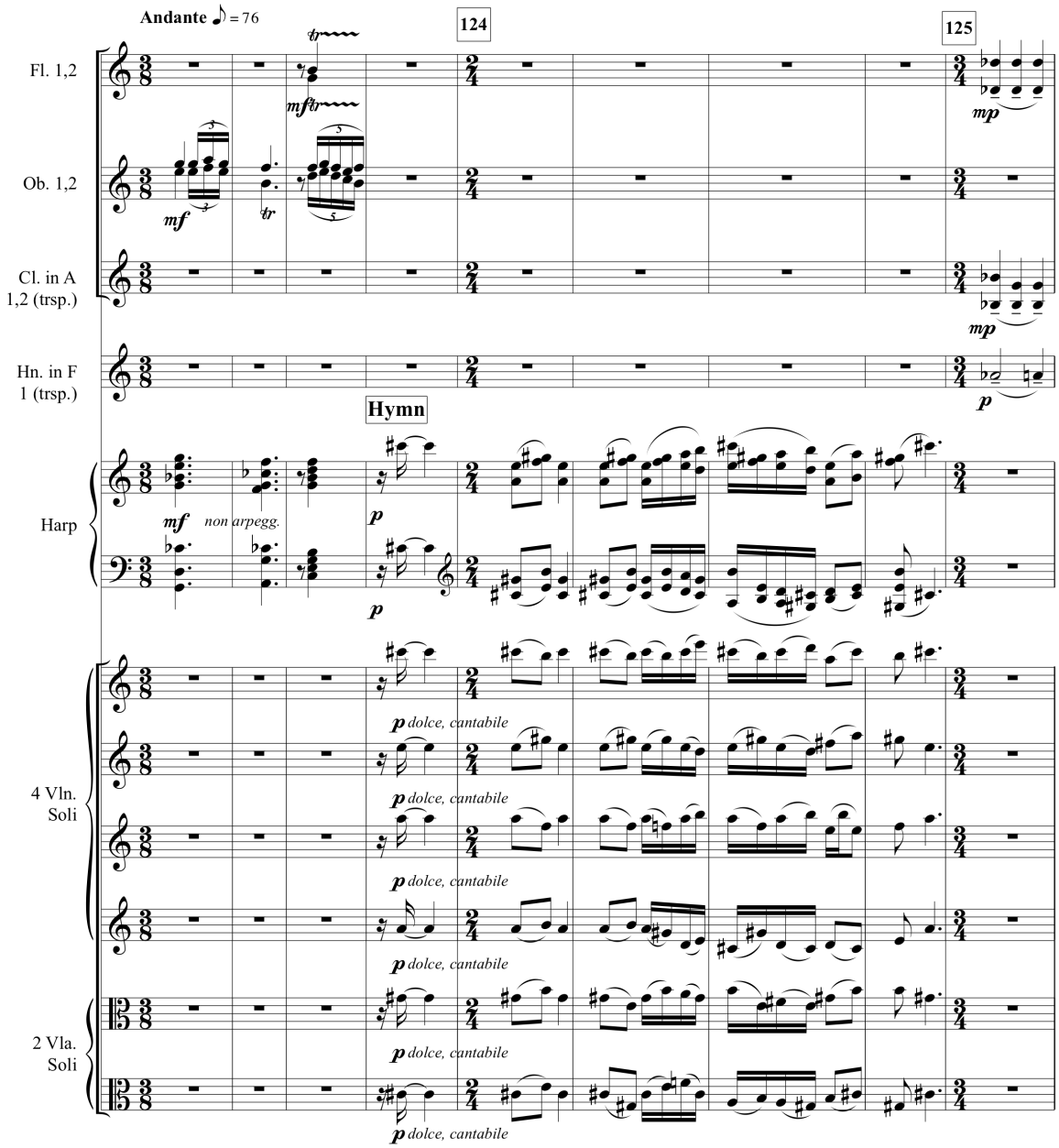



*Example 4–4:* Symphony in Three Movements*, Mvt. II, R. 125*

But perhaps the best marker of *ombra* contrast occurs in the initial melodic content, based on a D-centric $OCT_{1,2}$ collection with a flexible Gb/G♮, which can be heard as a transformation of the A section's opening tonal center. The expressive associations of the disparately-related pastoral and *ombra* topics thus create the contrasting middle that is expected of a ternary form: the tranquil, low style A/A' sections juxtapose with the ominous, high style B section.[11]

While these larger sections create the contrast characteristic of a ternary form, short bridges written using the hymn topic connect both the A and B, and B and A' sections (see examples 4–5a and 4–5b). On the surface, the musical attributes of these bridges stand out from the music surrounding them, given that their pitch content is composed of extended tertian sonorities in an A major tonal center, with a flexible F♮/F#

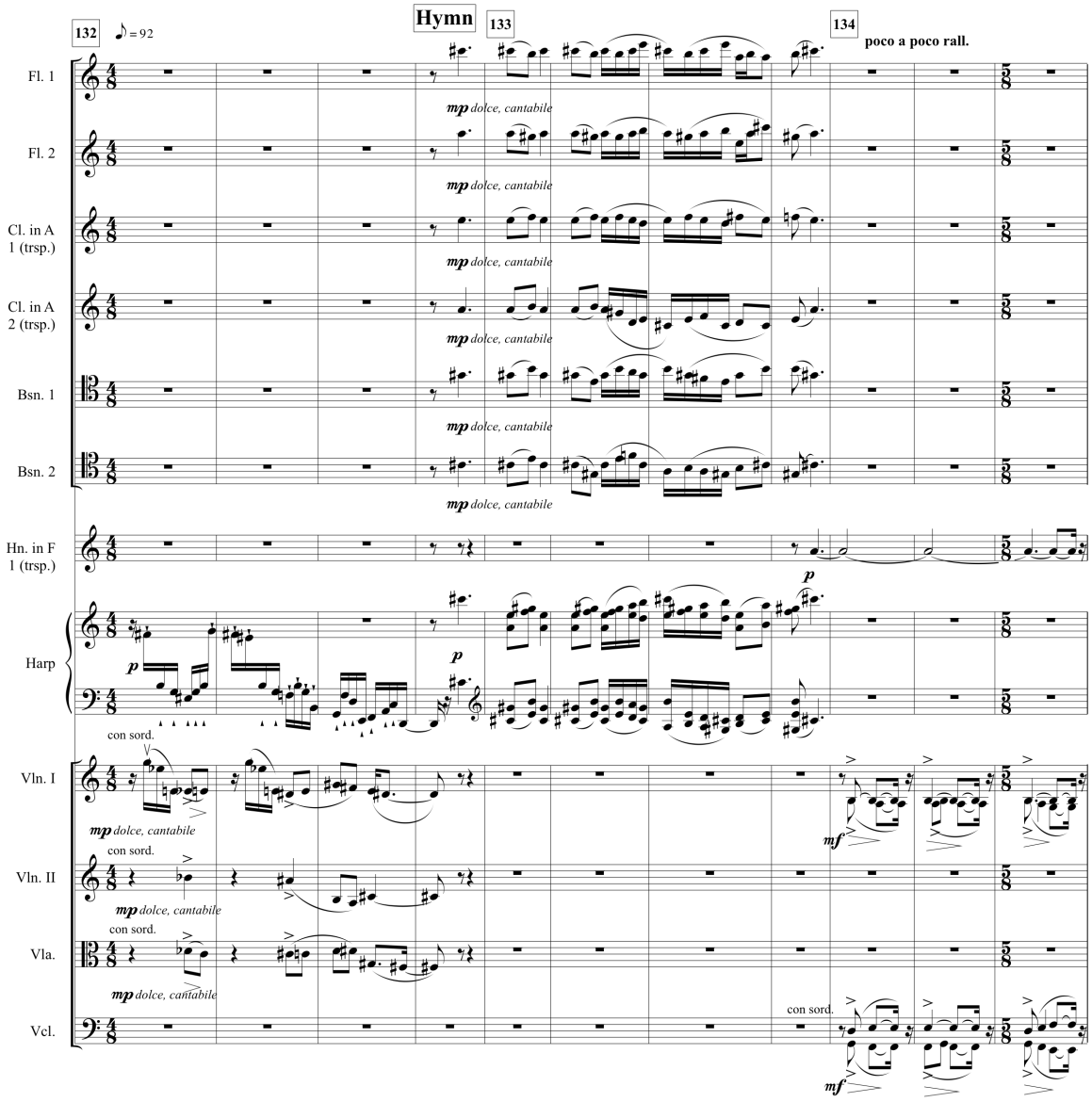
[11] The mode mixture in the A section can perhaps be interpreted as foreshadowing the octatonicism of the B section, and thus mixture helps relate the two sections. Otherwise, the expressive associations of the A and B sections create a stark contrast.




*Example 4–5a:* Symphony in Three Movements*, Mvt. II, R. 123–125*

for an affective use of mode mixture with $\flat\hat{6}$–$\hat{5}$.[12] This new content is further highlighted by the unexpected change of texture, which is particularly apparent in the first bridge.

[12] The bridge at R. 124 does not realize this explicitly in the voice leading, but rather the effect created by the composite of all voices creates this effect. In the bridge at R. 133, however, the first clarinet does play the F–E figure.




*Example 4–5b:* Symphony in Three Movements*, Mvt. II, R. 132–134*

The A section closes with the flutes, oboes, and harp playing a cadenza-like figure that ends on an all-white-note chord built on C (see example 4–5a). Following a sixteenth-note rest the pitch content changes abruptly to an $A^{M7}$ chord in first inversion (accentuating the change from C to C# in the bass), the instrumentation moves from woodwinds to strings, and the register of the passage transfers up one octave in the lower

voices, and half an octave in the higher voices. After the final $A^{M7}$ chord in first inversion, a brief three-chord sequence provides the final link to the beginning of the B section, the chromaticism of the clarinet and French horn lines creating a connection to the *ombra* music that follows.

At the end of the B section the strings also play a cadenza-like passage, ending on a dissonant C#–D–D#–F# sonority, which in the context of the previous measures sounds like a modified dominant chord in E major with a dissonant D in the bass (see example 4–5b). Following this sonority, the pitch content again changes to an $A^{M7}$ chord in first inversion, the instrumentation now changes from strings to woodwinds, and the register moves up two octaves in all of the voices. As before, the winds play the same hymn heard prior to the B section, albeit with slightly different voice leading. Like the first bridge, a three-measure link provides the final connection to the A' section, though in this instance the diatonic nature of the link prepares for the return of the D major tonal center of the A' section.

These appearances of the hymn topic can be interpreted in light of Hatten's reading of the third movement of Beethoven's Piano Sonata Op. 106, in which he describes a similar use of the hymn topic as evoking a "sudden insight, or epiphany."[13] The transitions in Stravinsky's *Symphony in Three Movements* have a similar expressive affect, salient amidst what would otherwise be a striking contrast between pastoral and *ombra* topics. While the disruptive quality of these sudden appearances of the hymn topic may make these moments sound transcendent, from a formal and topical standpoint these passages also connect the sections of the ternary form, providing a smoother connection to the movement's formal and expressive structure.

[13] Robert S. Hatten, *Musical Meaning in Beethoven*, 15.

With regard to the movement's expressive trajectory, the associations of the hymn topic provide the connective tissue between the pastoral topic in the outer sections and the *ombra* topic in the B section. As Eric McKee discusses, the hymn topic evokes feelings of serenity, purity, and calm, but also, given its connections to the church, projects high stylistic associations.[14] On one hand, the pastoral topic's evocation of an "idealized simplicity" overlaps with the similarly tranquil associations evoked by the hymn topic, though the low stylistic associations of the former are at odds with the latter. On the other hand, the *ombra* topic's high stylistic associations (given its connection with church styles) align more closely with the hymn topic, while the unsettled expressions evoked by the former conflict with the latter's more peaceful character. Despite the varying degrees of contrast between the hymn, pastoral, and *ombra* topics, the use of the hymn topic in these bridges helps to create a formal and expressive transition to the pastoral and *ombra* topics in the movement's A and B sections. Thus, the topical contrast of the ABA' conforms to the expectations of the ternary form, but the bridges between each of the three larger sections add formal and expressive transitions to this model.

## Theme and Variations Form

Another form that Stravinsky used to organize his music is theme and variations.[15] From a formal standpoint, Stravinsky's theme and variations often contain an unusual element, a musical component that stands outside of or disrupts the underlying variation process.

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[14] Eric McKee, "The Topic of the Sacred Hymn in Beethoven's Instrumental Music," *College Music Symposium* 47 (2007), 27.

[15] Similar examples of this technique can be found throughout Stravinsky's neoclassical oeuvre, such as the *Concerto for Two Pianos* (1931–5), *Jeu de Cartes* (1936), *Danses Concertantes* (1940–2), *Sonata for Two Pianos* (1943–4), and the *Ebony Concerto* (1945). For a detailed account of the techniques used in these pieces, see Robert U. Nelson, 1962.

While this can manifest itself in a number of different ways, the following analyses focus on how Stravinsky incorporates topics and their corresponding expressive states within this form, providing both potential problems and solutions to the overall structure. Stravinsky's use of theme and variations allowed him to utilize a single idea to explore a variety of different topics and expressive contexts in what Hatten has referred to as a "laboratory for experimentation with topical troping."[16] As Robert U. Nelson puts it, "Stravinsky's concept of variations, like his idea of music as a whole, is that of a disciplined and logical art. Technically it embraces two divergent attitudes: faithful adherence to the melody of the theme, unlimited freedom in handling the other thematic elements."[17] In other words, when writing in this form, beyond keeping the pitches of the original theme intact in the subsequent variations, Stravinsky used a wide variety of topics and styles to create numerous musical ideas and expressive states.

One of the most famous examples of theme and variations form in Stravinsky's neoclassical period is the second movement of the *Octet* (1923). The theme from this movement has been discussed perhaps most notably by Pieter C. van den Toorn and Martha A. Hyde (building on van den Toorn's analysis), concentrating largely on its pitch content as a combination of an $OCT_{0,1}$ melody with D minor accompaniment.[18] Nicholas McKay notes a different type of conflict in this theme when he refers to the "interanimation of the 'Turanian' and 'classical' language styles."[19] This lens allows McKay to observe the traditional and non-traditional aspects of this theme, such as the

[16] Robert S. Hatten, *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert* (Bloomington, IN: Indiana University Press, 2004), 70.

[17] Robert U. Nelson, "Stravinsky's Concept of Variations," *The Musical Quarterly* 48, No. 3 (July, 1962), 327.

[18] For their full discussions of the *Octet*, Mvt. II, see van den Toorn, 1983: 332–37, and Hyde, 2003: 103–7.

[19] Nicholas P. McKay, "Stravinsky's Sideward Glance: Neoclassicism, Dialogised Structures and the Reflected Discourse of Bach," *The Journal of Music and Meaning* 12 (2013/2014), 34.

triadic accompaniment written using a mechanized ostinato pattern, and the lyrical nature of the theme based on a symmetrical pitch collection. Analyzing both the traditional and non-traditional aspects of Stravinsky's use of theme and variations form will similarly allow us to arrive at a deeper understanding of the musical processes at work, which in turn will help to provide insights into the movement's expressive meaning.

One of the more distinctive formal aspects of this movement is the rondo-like use of variation A. Like the "Promenade" in Mussorgsky's *Pictures at an Exhibition* (1874), this variation returns throughout the movement, following the theme, and variations B and D (see figure 4–1). As Stravinsky put it, "I derived the *tema* of the second movement from the waltz, which is to say that only after I had written the waltz did I discover it as a subject for variations. I then wrote the 'ribbons of scales' variation as a prelude to each of the other variations."[20] In a traditional theme and variations, each variation is heard only once before moving on to the next idea. Thus, while the use of this particular form connects this movement to numerous examples from the past, the continual return of these "ribbons" problematizes the otherwise standard formal model. A further complication arises when we consider why variation A does not return between variations C and D, since it is played between every other variation in the movement.

While variation A is unusual from a formal standpoint, examining how the topical associations of the other variations interact throughout the movement will perhaps provide some insight into many of these issues. The dissonant pitch content utilized in the main theme calls to mind the foreboding *ombra* topic, given the flute's octatonic melody (doubled by the clarinet), slow tempo, soft dynamic, and ostinato accompaniment.

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[20] Igor Stravinsky and Robert Craft, *Dialogues* (Berkeley, CA: University of California Press, 1982), 39.

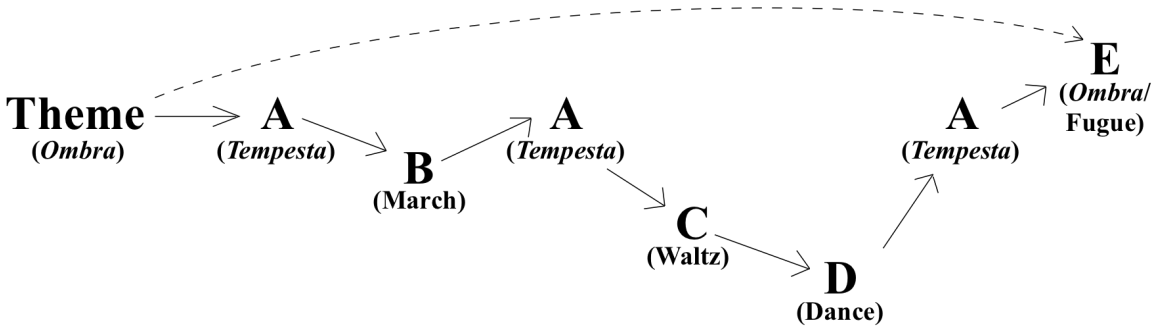


*Figure 4–1: Stylistic associations of the theme and variations in* Octet*, Mvt. II*

Variation A – the "ribbons of scales" to which Stravinsky refers – evokes the *tempesta* topic, while maintaining many of the *ombra* topic's musical features. The trombones play the theme in octaves in a low register, and the other instruments provide the heightened rhythmic activity befitting the *tempesta* topic with ascending and descending scalar patterns covering a wide registral span.

As Clive McClelland observes, the *ombra* and *tempesta* topics are similar in their high stylistic expressive associations, given their connection to theatrical music, church music, and the supernatural.[21] Thus, in moving from *ombra* to *tempesta* topics, both the theme and variation A convey a similar high stylistic, albeit agitated, expressive state. But the following three variations introduce progressively lower stylistic associations: variation B presents a march, variation C a waltz, which leads directly to variation D, written as a kind of popular dance. Variation E, the last in the movement, breaks out of this stylistic narrative by returning to the unsettled quality of the opening *ombra* topic. The stylistic associations of variation E are higher than the opening theme, in that this

[21] McClelland states that *ombra* and *tempesta* (*Sturm und Drang*) are similar with the exception of tempo: "For *ombra*, tempos are invariably on the slow side, allowing a portentous or mysterious atmosphere to be established. In some cases the tempo is changed several times in one scene. The lack of a regular pulse and a constant shifting of speed (including short bursts of fast *tempesta* music) contribute to the audience's sense of disquiet" (McClelland, 2014: 283).

final variation is written as a fugue rather than a simple melody and accompaniment texture. Stravinsky referred to variation E as the "high point of harmonic tension," which is conveyed through the dissonant and chromatic accompaniment, coupled with the soft dynamic and slow tempo.[22]

In this way, the formal frame of the second movement attains a sense of return in that it begins and ends with the *ombra* topic. This feeling of return is aided by the continual repetition of variation A, which helps to recall the movement's predominant expressive state while traveling through a varied topical and expressive landscape. The theme, variation E, and the continual return of variation A all project a dark, albeit high stylistic expressive state conveyed by the *ombra* and *tempesta* topics. Variations B, C, and D can thus be interpreted as moments of respite from the high stylistic associations of the *ombra* and *tempesta* topics. Variation B is written in the style of a march, characterized by triadic accompaniment patterns stressing the strong beats of each measure and the use of dotted rhythms in the trumpet's melody. However, this variation is far from a traditional march, given its chromaticism and rhythmic and metric distortions. Consequently, the expressive associations of this particular march are lowered from its traditional elevated state. Variation C is written as a 3/8 waltz conveying even lower expressive associations than variation B. The basic, repetitive nature of the accompaniment (the same two chords are used throughout), the presence of brass instruments, and the absence of symmetrical phrasing characterize this waltz more as a *Ländler* than a Viennese high-style waltz. This variation progresses directly to the next,

[22] Igor Stravinsky and Robert Craft, *Dialogues*, 40.

written in the style of a lively 2/4 popular dance.[23] One possible reason for the omission of variation A between variations C and D is that both are popular dances, and therefore the need for the transitional function of variation A is mitigated.

There are thus multiple topical and expressive progressions taking place within this movement. At the most background level, the high stylistic associations of the *ombra* and *tempesta* topics project a unified expressive genre for the theme and variations as a whole, given that they are recalled throughout the movement. On another level, each variation (with the exception of variation E) moves away from these high stylistic associations, though these departures are disrupted by the continual return of the *tempesta* ribbons. The Promenade-like returns of variation A also convey a sense of motion through a topical panorama, traversing from the opening theme to the "high point of harmonic tension" in variation E that closes the movement. While the return of variation A problematizes the form in one sense, it also helps to provide expressive coherence and trajectory to the otherwise widely varied selection of topics.

Another example of theme and variations form in Stravinsky's neoclassical music occurs in the second movement of the *Sonata for Two Pianos* (1943–4), which, unlike the *Octet*, uses topics primarily to create stylistic and expressive coherence. The melodic basis for all three movements of this work can be traced to *Pesni russkago naroda*, a "collection of *protiazhnye* (lyrical songs) compiled by M. Bernard" that was in Stravinsky's California library.[24] In the second movement, the theme and variations is based on #46 from this collection, *Ne poi, ne poi* (Do not sing, do not sing), the

[23] Bryan R. Simms (1996: 238) refers to this variation as a cancan. While this variation does project the quality of a low stylistic popular dance, I would argue that there is not sufficient musical evidence to label this variation as specifically representing a cancan.

[24] Charles M. Joseph, *Stravinsky and the Piano* (Ann Arbor, MI: UMI Research Press, 1983), 220.

arrangement of which is entirely diatonic in the key of F major (see example 4–6).[25]

Stravinsky begins with the theme from the Bernard Collection, albeit transposed to G major and written in a pastiche of Baroque counterpoint. The theme's texture begins as two-part counterpoint, but Stravinsky adds a voice in each of the next two melodic statements so that the final phrase concludes in four-part counterpoint. The initial contrapuntal voice is a diatonic inversion of the melody, though all of the perfect fourths and fifths are inverted to maintain a more stable G major tonal center. The presence of these contrapuntal processes calls to mind high, learned stylistic associations in the opening theme, which are subsequently developed in variations 2, 3, and 4: variation 2 features dotted rhythms in the melody with a virtuosic toccata accompaniment; variation 3 is written in the style of a fugue; variation 4 is composed as a hymn. In this final variation, piano II's low register theme contrasts with piano I's high register chordal accompaniment, creating a transcendent quality that further reinforces the high stylistic associations of this topic.

The theme and final three variations in this movement thus all project high stylistic associations. In contrast, variation 1 stands apart from the rest of the movement, reverting to a simple rather than a learned compositional style (see example 4–7). In this variation, piano II unfolds an ostinato pattern which is only interrupted in m. 12, perhaps to articulate the last measure of the theme being played by piano I. The ostinato is separated into two voices, the lower of which outlines a G major triad (except for mm.

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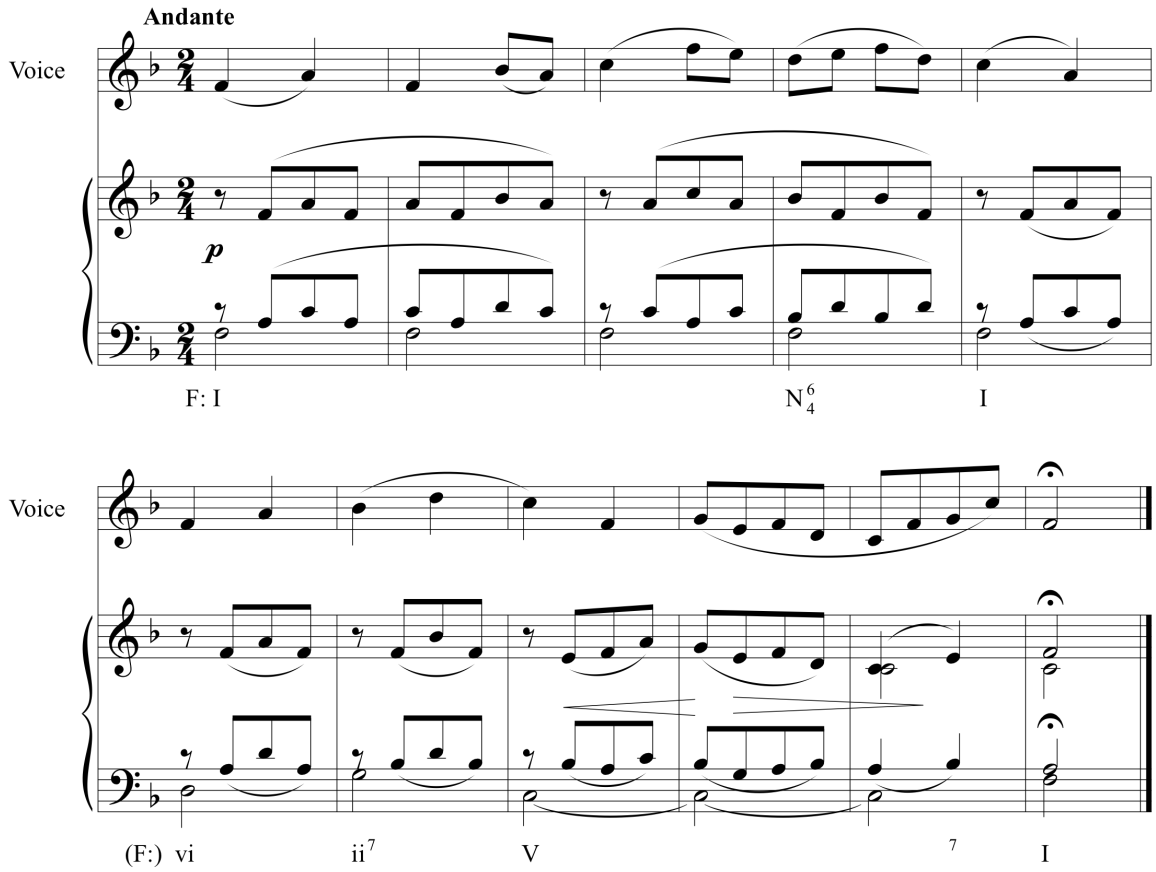
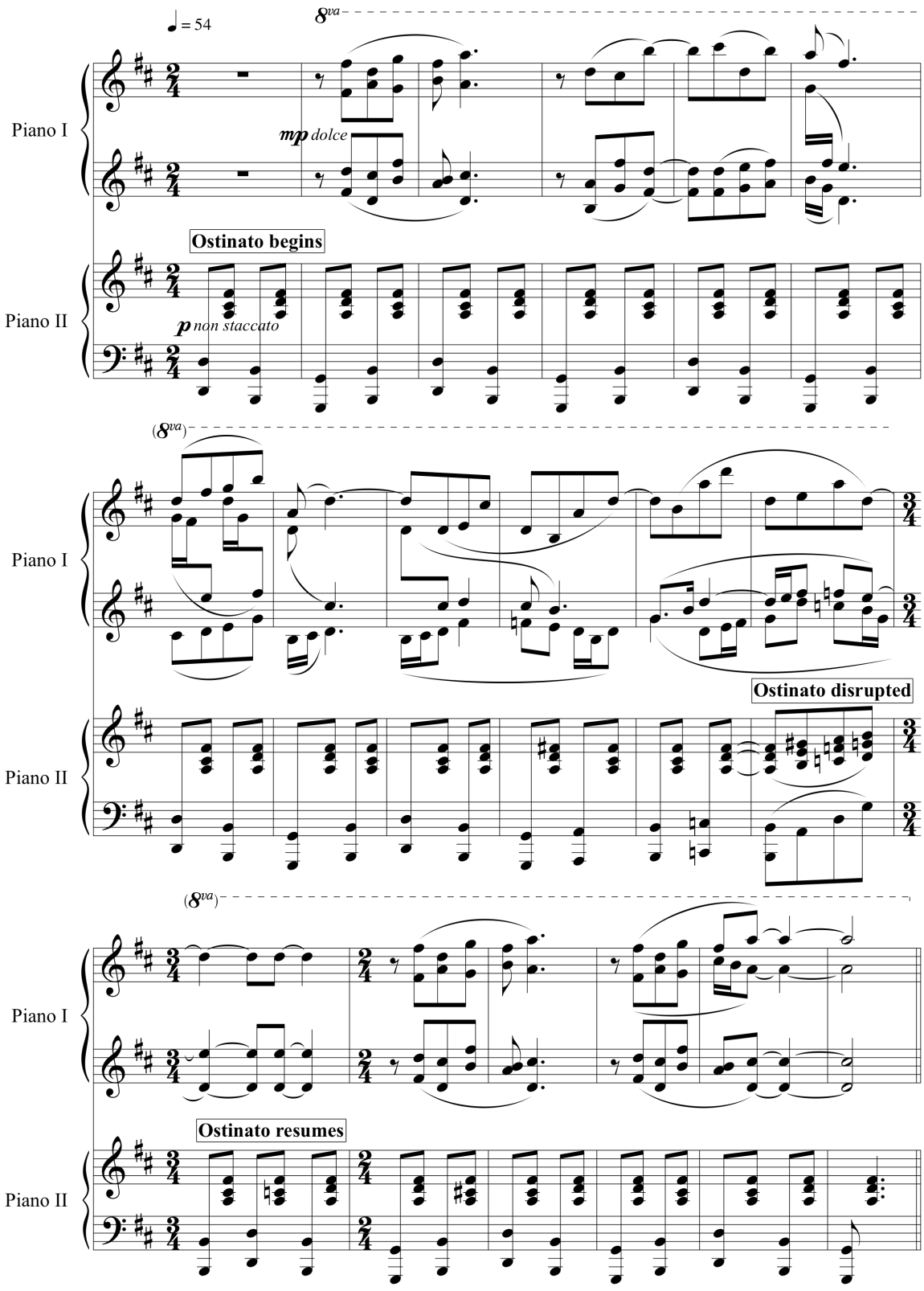
[25] Lawrence Morton, "Stravinsky at Home," in *Confronting Stravinsky: Man, Musician and Modernist*, ed. Jann Pasler (Berkeley, CA: University of California Press, 1986), 335. According to Morton, this song "has a text about a father who has betrothed his daughter to 'a foolish head.'" The full example printed below is copied from example 53 in Joseph, 1983: 226. For a complete reprint of this and other songs from the collection on which themes from the *Sonata for Two Pianos* are based, see Joseph, 1983; 216–227.




*Example 4–6:* Ne poi, Ne poi*, #46, Bernard Collection*

10–11 in which it plays a G major scalar pattern), while the upper voice maintains the same A–F# intervallic outline, moving between C# and D in the middle voice to form alternating F# minor and D major triads (except for the one C♮ in m. 13). The simplicity of this ostinato pattern's construction evokes the low stylistic associations of the pastoral topic: the repetitive ostinato and the melody's consistently diatonic character demonstrate a concern with simplicity rather than contrapuntal complexity.

The pastoral associations of variation 1 thus serve as a reminder of the source melody's low stylistic folk origins, contrasting with the otherwise consistent use of contrapuntal topics that develop the theme's high stylistic associations. While variation 1




*Example 4–7:* Sonata for Two Pianos*, Variation 1*

does stand outside of the variation process used in the remainder of the movement, its prominent placement can perhaps be interpreted as Stravinsky's acknowledgment of his source material and his compositional point of departure for the *Sonata for Two Pianos*. Revealing the music's original folk roots early in the movement allows Stravinsky to showcase its topical transformation in the contrapuntal idioms of the preceding theme and successive variations.

## Sonata Form

Given Stravinsky's preoccupation with music of previous stylistic periods, it is not surprising that he utilized sonata form – "the paradigmatic form of tonal music" – as an organizational model in his neoclassical compositions.[26] Joseph N. Straus points out that there have been "two principal ways of interpreting and writing sonata forms": an eighteenth-century focus on harmonic contrast and a nineteenth-century emphasis on thematic contrast.[27] While these approaches were certainly of concern to Stravinsky when using sonata form, according to Mary Wennerstrom, twentieth-century composers could also use more abstract methods:

> Twentieth-century composers too have been attracted to the sonata-movement pattern and have employed the underlying ideas of statement-development-restatement for their own creative purposes. Some writers believe that this form depends on the duality of tonal centers inherent in music based on functional tonality, and of course the contrast of tonal centers in the exposition and the reconciliation to tonic in the recapitulation are important features of the structure. However, if we accept the underlying processes of the form, which have a general applicability, it is obvious that this formal design is still prevalent in twentieth-

[26] Joseph N. Straus, *Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition* (Cambridge, MA: Harvard University Press, 1990), 96.

[27] Ibid., 96–7.

> century music, even without the element of contrast found in previous tonal systems.[28]

Like Stravinsky's troping and distortion of musical topics, many of his works utilize a more "general applicability" of sonata form, containing vestiges of the original formal model without adhering strictly to all of its internal processes.

For instance, the exposition section may be characterized by tonal dichotomy, the two parts of which are projected through different themes. While Stravinsky does compose expositions that create contrast through harmonic means, topics and tropes can play an important role in establishing the polarity expected in this formal model.[29] Stravinsky's exposition sections often utilize similar topical material for both the main and secondary theme areas. In order to create contrast between these themes, Stravinsky can alter the tropological relationship between topics along the dominance axis, allowing one topic to sound more prominently than the other(s). In a traditional development section, motives and themes introduced in the exposition are reintroduced and reworked, typically through such processes as fragmentation, model-sequence, and modulation. Some of Stravinsky's sonata development sections also exhibit these compositional techniques, though he often introduces completely new musical topics in the development to expand on and contrast with exposition material. Put another way, Stravinsky develops the expressive associations of topics introduced in the exposition rather than the thematic material itself.

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[28] Mary Wennerstrom, "Form in Twentieth-Century Music," 18.

[29] Joseph Straus' work on sonata form in Stravinsky (1987: 141–161, 1990: 98–107) explores the harmonic dichotomy in the exposition of works such as *Symphony in C* (C/E), *Octet* (Eb/E/D), and *Sonata for Two Pianos* (F/C); though the last piece does seem to display a traditional tonic-dominant relationship, Straus asserts that Stravinsky is mimicking traditional tonal features rather than composing in a traditional harmonic manner.

Finally, the recapitulation brings back material from the exposition restated in the tonic key, thereby resolving the original harmonic contrast. Stravinsky's recapitulations, however, do not always adhere to this tonal paradigm. On the one hand, he substitutes different formal or harmonic strategies to rework the exposition material in ways that deny such resolution. On the other hand, the topical content in the recapitulation is usually the same as the exposition, which does provide a sense of return. In cases where the recapitulation is similar to the exposition, Stravinsky often appends a coda as a compensatory element in order to provide the requisite sense of formal, topical, or expressive resolution. Understanding the various uses of topics and their expressive associations is thus an important component in interpreting how such processes work in Stravinsky's appropriation of sonata form.[30]

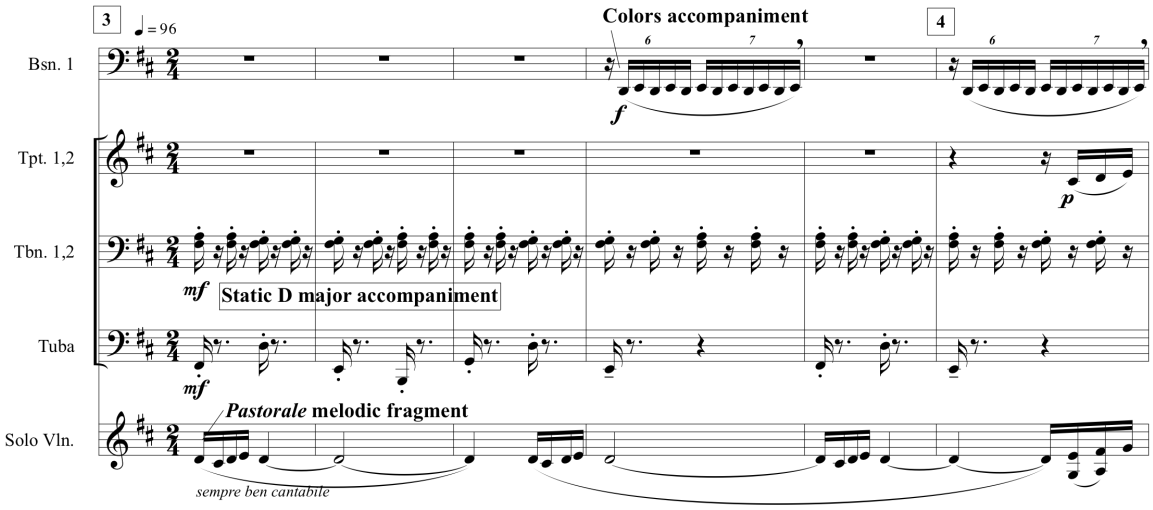
Exposition

The exposition in the first movement of Stravinsky's *Violin Concerto* is characterized topically by the use of pastoral and march topics (see figure 4–2). Following the introduction, the main theme continues to utilize both the pastoral and march topics with the former in a more dominant position than the latter (see example 4–8). The solo violin plays the main theme, which is based on the same *Pastorale* melodic fragment played by the trumpets in the introduction. Set in a low register, the long sustained tones and

[30] Many of Stravinsky's other works have received attention for their use of sonata form and may provide interesting ground for further research; I am referring to the first movement of the *Octet* (1923), the *Piano Sonata* (1924), *Symphony in C* (1938–40), *Sonata for Two Pianos* (1943–4), *Symphony in Three Movements* (1942–5), and the *Ebony Concerto* (1945). Some of the more prominent discussions that discuss sonata principles in Stravinsky's works include: Joseph N. Straus (1987, 1990), who has discussed sonata form in the first movements of the *Octet*, *Symphony in C*, and *Sonata for Two Pianos*; Ethan Haimo (1987), who also discusses relations to sonata form in the first movement of the *Octet*; and Bonna J. Boettcher (1991), who discusses the 1924 *Piano Sonata* and its relation to the classic sonata.

| Sonata | Intro | MT | TR | ST |
|---|---|---|---|---|
| R. Nos. | M. 1–R. 3 | R. 3–6 | R. 6–7 | R. 7–12 |
| Topics | P/M | | | M/P/T |
| Tonal Center | DM | | | CM |

*Figure 4–2: Exposition Section in* Violin Concerto*, Mvt. I. P = pastoral, M = march, T =* tempesta*. Tropological dominance is indicated by the order in which topics are listed.*




*Example 4–8:* Violin Concerto*, Mvt. I, R. 3*

*sempre ben cantabile* performance direction project a folk-like vocal quality, in particular given that the melody emphasizes the tonic D for the first six measures of the theme. The tuba and trombones continue to unfold the static D major harmonic accompaniment introduced at the beginning of the movement, and the low bassoon trills on the tonic add further color to the texture, contributing to the low stylistic connotations and bucolic atmosphere of the work's opening. While the staccato 2/4 accompaniment does evoke the ceremonial, high stylistic associations of the march topic, the pastoral topic remains dominant at this point in the movement.

The second theme has already been discussed in chapter 2, in particular the dominance of the march topic over the pastoral (see example 2–7). Whereas the pastoral topic is dominant in the introduction, main theme, and transition, in the second theme this arrangement is reversed, creating contrast while maintaining similar topical content in these sections. This is not an exact exchange of dominance positions, given that the trope of march, pastoral, and *tempesta* topics in the second theme is a more even blend. However, Stravinsky's manipulation of the dominance axis demonstrates how the use of topics in various arrangements can define different thematic areas and create a sense of progression along the productivity axis. In this way, Stravinsky creates the contrast between themes expected in a sonata form exposition.

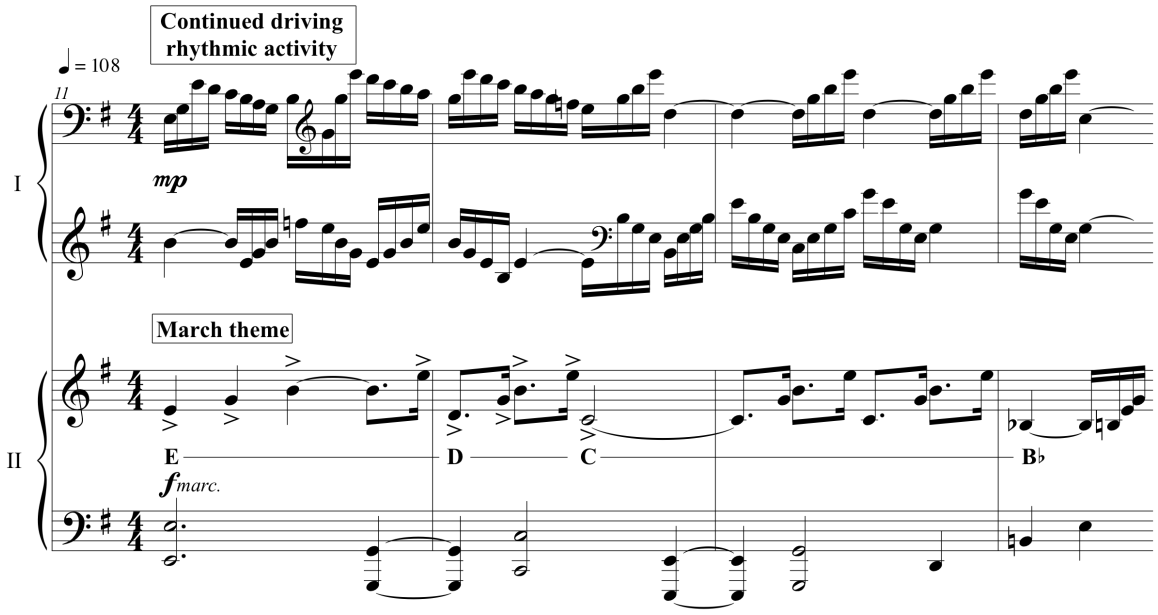
As a point of comparison, the exposition in the first movement of the *Concerto for Two Pianos* incorporates the *tempesta* topic and brilliant style in almost every section, providing a consistent expressive backdrop (see figure 4–3).[31] While these topics are maintained throughout, the topical content of the main theme contrasts with that of the second theme to create the dichotomy anticipated in a sonata form exposition.[32] In the main theme, a march topic is played by piano II while piano I continues the *tempesta* and brilliant style accompaniment (see example 4–9). This theme projects a serious character given the E Phrygian mode, the virtuosity of the accompaniment in piano I, and the high stylistic associations of the march, *tempesta*, and brilliant topics making up the trope. The second theme, on the other hand, alludes to the singing style melody from the introduction (see example 4–10). The agitated rhythmic character of the second theme,

[31] The one exception to this backdrop is mm. 18–27 (see example 2–6) which stands out as a brief moment of pastoral dominance.

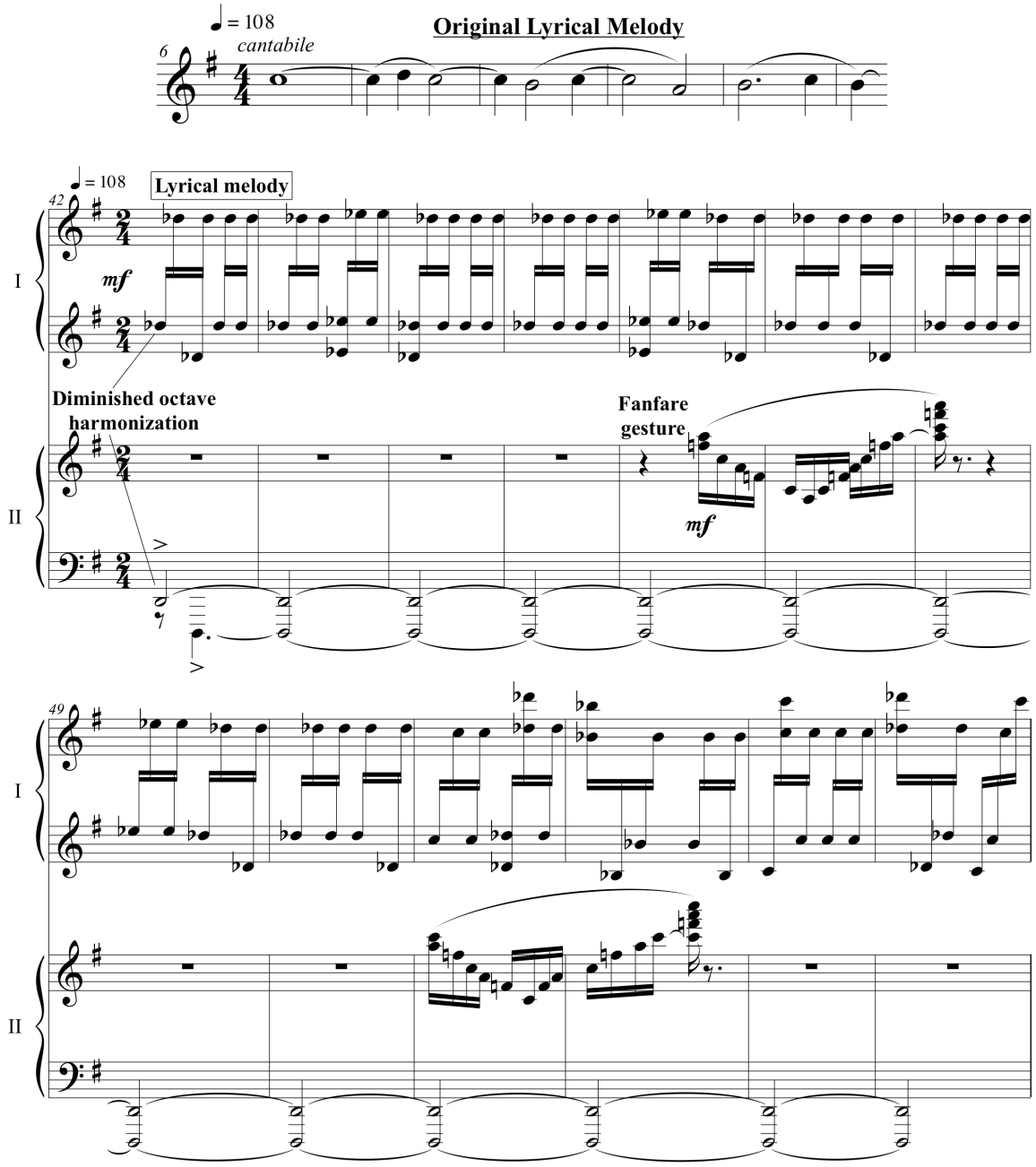
[32] The second theme has a dominant *tempesta* and brilliant style quality, though the theme itself is a modified version of a singing style melody first heard in m. 6.

| Sonata | Intro | MT | TR1 | TR2 | ST | CT1 | CT2 |
|---|---|---|---|---|---|---|---|
| Mm. Nos. | 1–10 | 11–17 | 18–27 | 28–41 | 42–73 | 74–81 | 82–91 |
| Topics | T/B | | P/B | T/B | | | |
| | M/SS | M | | | SS | M | |
| Tonal Center | Em | | AM | Em | D/Db/F | Em | EbM |

*Figure 4–3: Exposition Section in* Concerto for Two Pianos*, Mvt. I. T* = tempesta*, B = brilliant style, M = march, SS = singing style, P = pastoral. Tropological dominance is indicated by the order in which topics are listed.*




*Example 4–9:* Concerto for Two Pianos*, Mvt. I, mm. 11–14*




*Example 4–10:* Concerto for Two Pianos*, Mvt. I, mm. 42–54. Original lyrical melody from mm. 6–11 is illustrated above for reference.*

however, presents a saturation of *tempesta* and brilliant style elements that transform its singing style origins. The diminished octave D/Db articulated by pianos I and II, as well as the arpeggiated F major fanfare gestures, create a dissonant character that further illustrates the transformation of the original lyrical theme. Expressive continuity is created in both the *Violin Concerto* and the *Concerto for Two Pianos* by maintaining similar topical material throughout the exposition. The contrast expected in a sonata form exposition is created in the *Concerto for Two Pianos* by troping different topics with this expressive backdrop in the main and second themes, while in the *Violin Concerto* it is created through subtle transfers in dominance within the same trope.

Development

The development section of the *Violin Concerto*'s first movement operates unlike a traditional sonata development. This section can be described using Jonathan D. Kramer's conception of "moment form," which is music that "consists of a succession of self-contained sections that do not relate to each other in any functionally implicative manner."[33] Rather than developing an entirely new set of topics to contrast with the exposition, in the *Violin Concerto*, Stravinsky presents a series of musical ideas to develop the low stylistic pastoral elements, or the high stylistic march and *tempesta* elements introduced in the exposition. Building on the discussion of this movement as a representation of a rustic celebration akin to the opening tableau of *Petrushka*, we can also interpret the development section of the *Violin Concerto*'s first movement in light of

[33] Jonathan D. Kramer, "Moment Form in Twentieth Century Music," *The Musical Quarterly* 64, No. 2 (Apr., 1978), 179.

this scenario. Mark McFarland's description of the first tableau in *Petrushka* provides a good starting point for this discussion:

> [T]he opening section of *Petrushka* ("The Shrove-Tide Fair") openly celebrates the abrupt juxtaposition of musical ideas, each of which serves essentially as a leitmotiv for Admiralty Square and the various characters that inhabit it…so strongly is our attention drawn from one set of characters and their accompanying music to another, that this opening scene has been compared to cinematic montage.[34]

Without a specific narrative or libretto in the *Violin Concerto* it is impossible to know exactly what is being portrayed in each of these scenes. However, by analyzing the topical content of this development section, we can perhaps interpret the changing expressive associations in each phrase to depict a different moment within the larger musical montage.

The development begins by expanding upon the low stylistic pastoral associations of the exposition. The second pastoral scene begins the measure before R. 14, in which the English horn and second oboe begin to play a drone on a major ninth F–G, which is held throughout this brief ten measure idea (see example 4–11). The use of these two double reed instruments in their lower registers suggests the imitation of a bagpipe, indicating the topic of the musette by the soft, "sweet and intimate" tone produced by these two instruments.[35] Stravinsky even writes a semitone ascent in the English horn before the drone to give the impression of the bagpipe instrument getting the right amount of air to produce the proper pitch level for its drone. However, when the two

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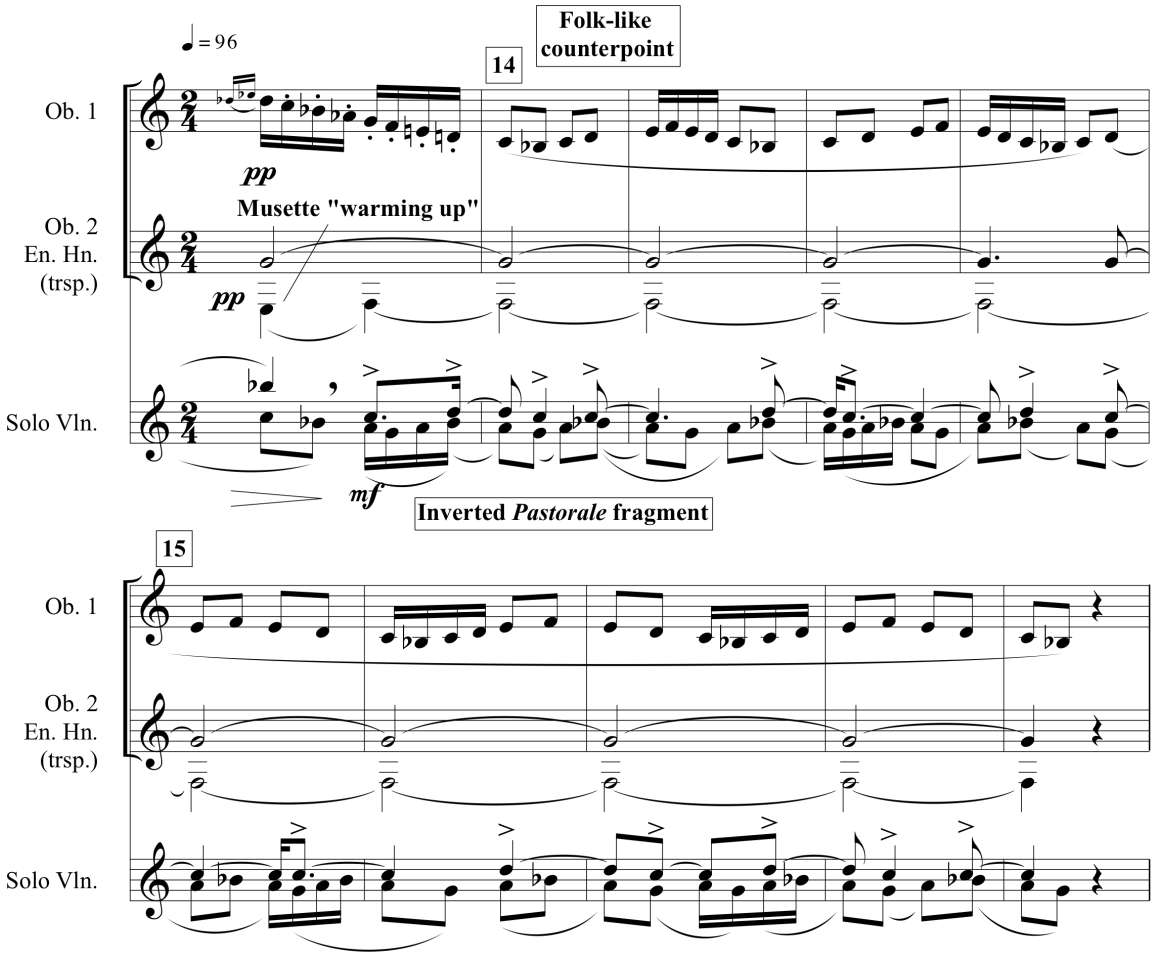
[34] Mark McFarland, "Debussy: The Origins of a Method," *Journal of Music Theory* 48, No. 2 (Fall, 2004), 296.

[35] Raymond Monelle, *The Musical Topic: Hunt, Military and Pastoral* (Bloomington, IN: Indiana University Press, 2006), 212. This could also be an allusion to a specifically Eastern European bagpipe instrument, or perhaps an aulos or other historical instrument, but given Stravinsky's knowledge of French culture and the way in which this drone is used here, this drone seems to be more evocative of the musette.




*Example 4–11:* Violin Concerto*, Mvt. I, R. 14–15*

instruments do finally settle on their drone pitches, the bagpipes seem to be "broken," in that they sound a major ninth F–G rather than the more normative perfect fifth or octave drone expected of a musette.

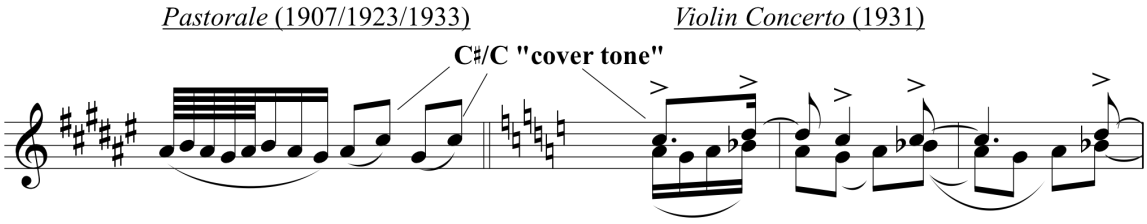
Superimposed over this drone, the first oboe begins to play a melodic line in entirely conjunct motion outlining five notes of a C Mixolydian scale, lending this section a more modal, folk-like quality. This line creates a counterpoint with the violin soloist's music, which sounds in double stops throughout this entire section. The violin's upper voice undulates between C and D, providing the conjunct motion of a simple folk melody

and supporting the pastoral topic's use of relatively slow harmonic motion. Like the upward arpeggiations on beats two and three in the *Pastorale*, this voice acts as a "cover tone," sounding above the more important melodic content of the passage (see example 4–12). The seemingly random accentuations of the violin's upper voice create an improvisational, folk-like quality, particularly if one thinks of this in relation to the misaccentuations Stravinsky used so prominently in some of his vocal settings.[36]

A further indication of the pastoral topic's development in the violin's music is found in its lower voice, which can be heard as an inverted variation of the same turn figure from Stravinsky's *Pastorale* used in the introduction and main theme in the exposition. However, rather than doubling the quintole pattern at the third as it was in the exposition, the C–D accompaniment pattern is used above the inverted *Pastorale* fragment. The simple nature of these patterns combined with the fact that neither exceeds the range of a perfect fifth evokes the low stylistic associations of the pastoral topic. While the use of the modified *Pastorale* quintole motivically connects this development phrase to the exposition, the new instrumentation, texture, and tonal center here suggest a somewhat lower use of the pastoral topic than was heard in the previous section.

Following this series of pastoral scenes, at R. 22 the development begins to expand on the high stylistic march and *tempesta* topic associations from the exposition's second theme. At R. 27, for example, the violas, cellos, and contrabasses all play on the strong beats of each measure, reinforcing the march topic through this steady rhythm (see

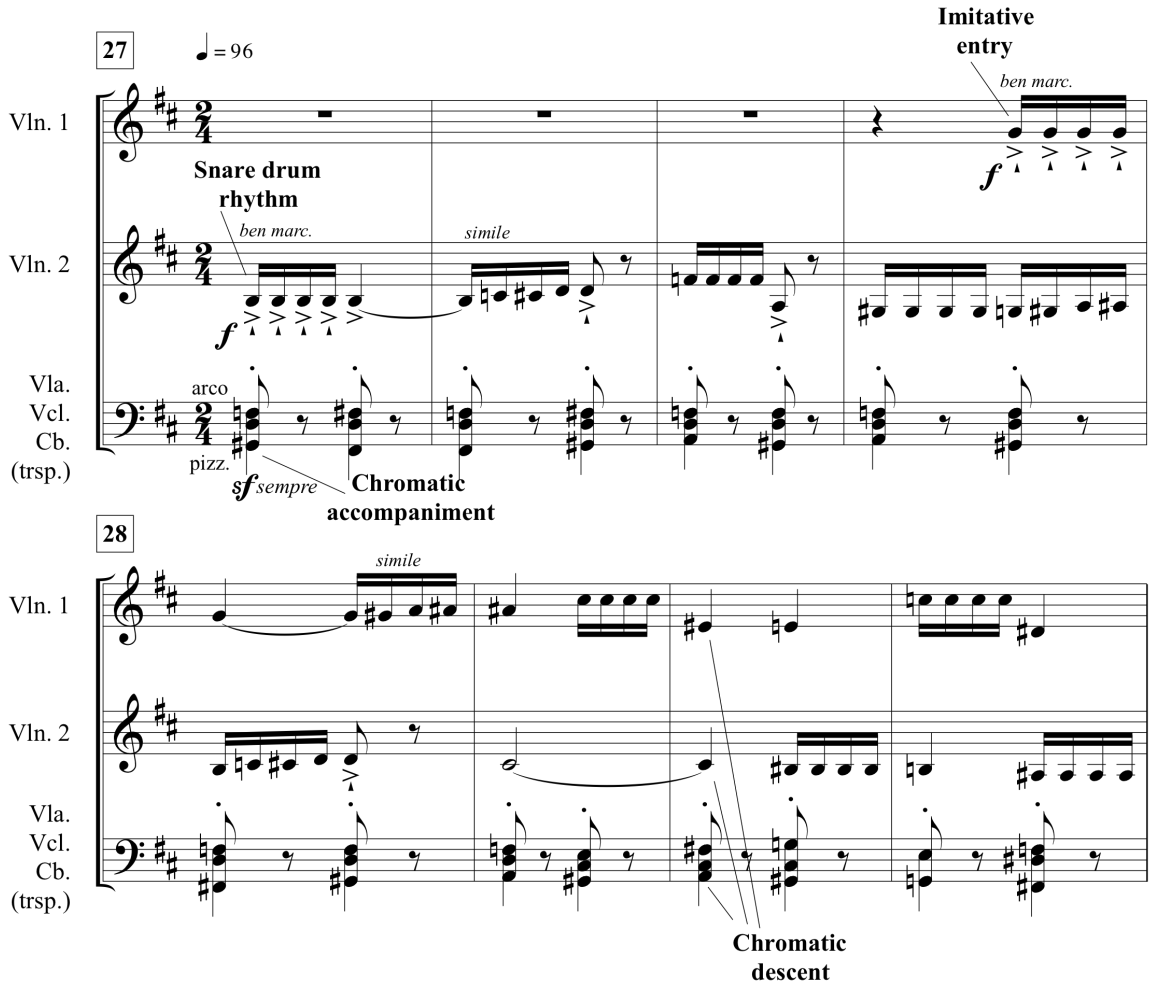
[36] Richard Taruskin, "Stravinsky's 'Rejoicing Discovery' and What It Meant: In Defense of His Notorious Text Setting," in *Stravinsky Retrospectives*, ed. Ethan Haimo and Paul Johnson (Lincoln, NE: University of Nebraska Press, 1987), 168. "[Stravinsky's] settings of [texts] were often deliberately and seemingly misaccentuated, distorted as to phrasing and punctuation, dislocated in meter vis-à-vis that of the text, and, in fine (to paraphrase Cui), so calculated as in no way to blend with the word or to permit the formation of 'an indissoluble, organic whole.'"




*Example 4–12: Comparison of* Pastorale *quintole in* Pastorale *and* Violin Concerto*, R. 14*

example 4–13). However, each of these instruments unfolds its own chromatic line, creating a thick chordal texture that increases the music's dissonant character, representing a change to a more sinister expressive space. Starting at R. 27 a new theme is also introduced, beginning with a snare drum rhythm similar to that played by the bassoon at R. 22. Despite some added syncopation, this theme at R. 27 continues to emphasize the strong beats of the 2/4 measure along with the lower string instruments. The imitative entry by the first violins a minor sixth above the second violins in the measure before R. 28 reinforces the high stylistic associations generated by both the march and *tempesta* topics. The chromatic descent played by all five instruments in the last two measures emphasizes the *tempesta* topic's ominous tone, drawing further contrast to the pastoral scenes heard earlier in the development section.

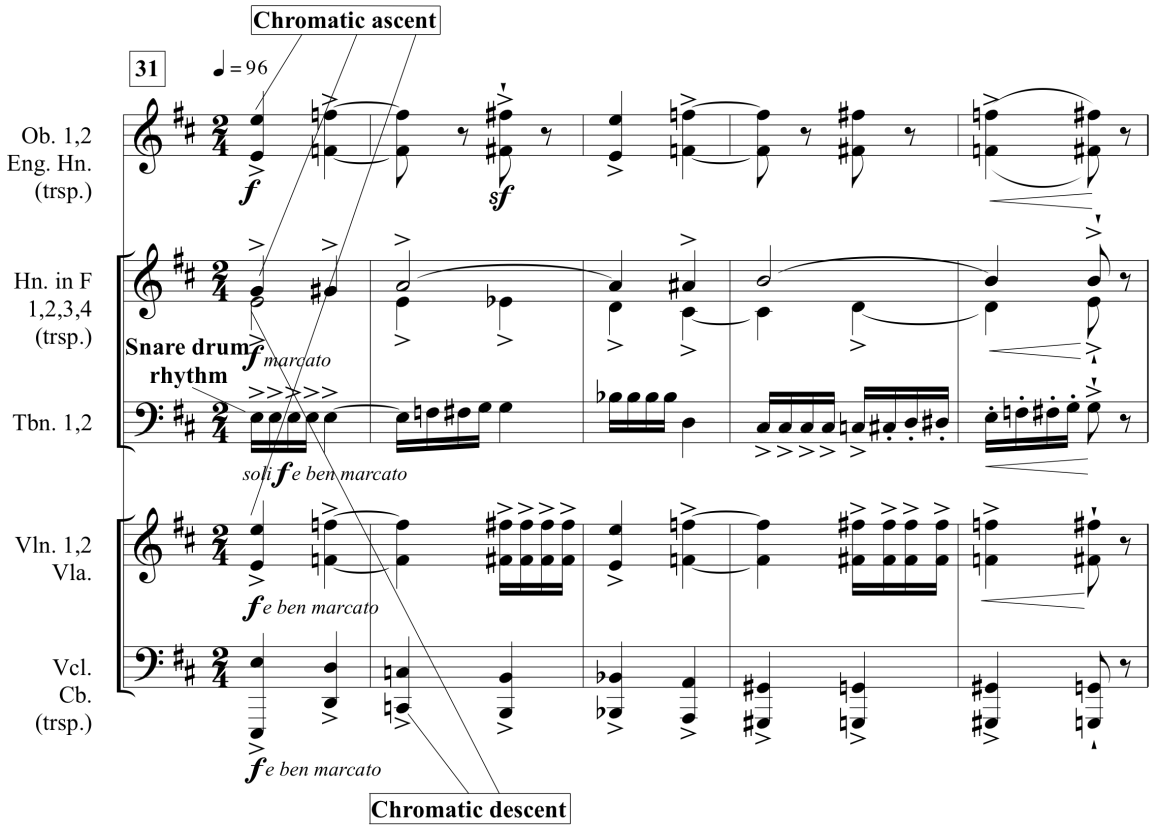
This theme continues to build through R. 31, the climax of the development (see example 4–14). Here the trombones play the melody introduced by the second violins in the previous phrase, continuing to reinforce the dark expressive timbre of the *tempesta* topic. The accompaniment pattern further develops this sinister quality, given the increased level of dissonance created by the chromatic wedge between the upper and lower voices. In particular, the chromatic descent heard at the end of the previous phrase is expanded in the cellos and contrabasses, and underlies the entire melodic statement.




*Example 4–13:* Violin Concerto*, Mvt. I, R. 27–28*

Both melody and accompaniment emphasize the strong beats of each measure with heavily accented articulations to reinforce the march topic, but the expansion of the chromatic pitch content positions the *tempesta* topic in a more dominant role relative to the march topic. This phrase represents the furthest development of the high stylistic associations connected to the *tempesta* and march topics, creating the greatest contrast with the low stylistic associations of the pastoral topic.

The order in which different topics and expressive states are introduced in the development section in the first movement of the *Violin Concerto* is similar to the first




*Example 4–14:* Violin Concerto*, Mvt. I, R. 31*

tableau in *Petrushka*. In *Petrushka*'s opening tableau, a number of pastoral scenes establish the festive atmosphere of The Shrovetide Fair, after which "The Magic Trick," a passage characterized by the *ombra* topic, interrupts these low stylistic moments. Similarly, after the pastoral scenes in the beginning of the development in the *Violin Concerto*, this section begins expanding on the high stylistic associations corresponding to the march and *tempesta* topics. However, in both works, these darker expressive associations only last temporarily, in that the pastoral topic returns following the *ombra* and *tempesta* disruptions. In the *Violin Concerto*, the recapitulation returns to the pastoral dominated trope of the main theme, while in *Petrushka* the folk-like "Russian Dance" closes the first tableau. The development section in the first movement of the *Violin*

*Concerto* thus uses several different moments to expand on the pastoral, march, and *ombra* topic's associations introduced in the exposition, suggesting a variety of scenes taking place at a rustic celebration.

Recapitulation

In a traditional sonata form, the recapitulation provides resolution to the exposition's tonal contrast by transposing the subordinate theme to the tonic key area. However, Stravinsky reworks the recapitulation in his sonata forms for a number of different purposes. Straus discusses some of the ways in which Stravinsky deals with contrast and resolution in the exposition and recapitulation sections of his sonata forms, but of particular importance to this study is his analysis of the first movement of *Symphony in C*.[37] As Straus observes, this movement imitates a traditional tonic-dominant relationship between two pitch centers C and E, though this dichotomy is reconciled in the coda rather than the recapitulation. Furthermore, Straus points out that this resolution is not conventional in that these two pitch centers are integrated into a single sonority in the coda, creating "polarity and synthesis instead of polarity and resolution."[38] While Straus is specifically discussing harmonic tension and resolution in this case, the general notion that Stravinsky uses the coda rather than the recapitulation to work out these contrasts can be extended to the composer's use of topics.

[37] The other examples Straus (1987) discusses in this article are the first movement of the *Sonata for Two Pianos*, which he states does not create a polarization or resolution of key areas, and the first movement of the *Octet*, which uses a chromatic neighbor idea and reversal of first and second themes in the recapitulation to emulate classical resolution.

[38] Joseph N. Straus, "Sonata Form in Stravinsky," in *Stravinsky Retrospectives*, ed. Ethan Haimo and Paul Johnson (Lincoln, NE: University of Nebraska Press, 1987), 155.

The recapitulation in the first movement of the *Violin Concerto* reestablishes the trope of pastoral and march topics, following the montage of individual scenes depicted in the development. Thereafter, Stravinsky appends a brief coda to create a sense of resolution to the movement. This coda, which is written in a D major tonal center composed of a similar pastoral and march trope heard in the main theme (albeit with an added brilliant style element) ends the movement in a grandiose fashion. Given the varied expressive states explored in the development, the emphatic tone of this coda reinforces the dominant pastoral associations established in the exposition, while affirming the celebratory nature of the music heard throughout the movement. In that the coda reinforces the topical content from the main theme, a pastoral expressive genre is established through the return and development of similar material at the end of the work.

Likewise, the recapitulation and coda in the *Concerto for Two Pianos* continue to develop the *tempesta* and brilliant style elements from the exposition, creating an expressive genre through the continued use of this material. The end of the coda in the *Concerto for Two Pianos* features a decrease in texture and dynamic, closing the movement in the same soft, low register in which it began. This tropological and textural connection between the beginning and end of the first movement reinforces the expressive background established by the *tempesta* and brilliant style elements in the movement as a whole. Interpreting Stravinsky's use of topics and tropes helps to determine how the composer "seems to bend the form to his own purposes," offering a unique approach to composing with sonata form.[39]

[39] Joseph N. Straus, "Sonata Form in Stravinsky," 161.

## Cyclic Form

In many of Stravinsky's neoclassical works, one or more topics will be used throughout a multi-movement piece to provide large-scale formal coherence. This bears similarities to discussions of cyclic form, which entails multiple movements of a work that "are connected by schemes of prominent thematic recollection."[40] As Marianne Wheeldon discusses with regard to Debussy's string quartet (1893), while thematic recall plays a role in this piece's cyclic form, the composer uses timbre in a similar manner as another method of cyclic organization, which she terms "timbral recall."[41] Stravinsky also uses thematic recall, but what may be called a "topical recall" also plays a role in many of his works. In these cases a specific topic recurs at certain key points in the work's formal layout, calling to mind that figure's stylistic and expressive associations. When used in this way, a particular topic or trope becomes a large-scale structural and expressive component that connects the multiple movements of a work.

The topical content in much of Stravinsky's *Dumbarton Oaks Concerto* (1937–8) is a blend of various toccata styles, with changes in melody and accompaniment, texture, and key area defining each phrase and section. An additional element that Stravinsky uses in key transitional moments is the hymn topic. Perhaps the most important junctures at which these are used are the transitions between the work's three *attacca* movements, though the hymn topic is also used in a transitional function between phrases in the second and third movements (see figure 4–4). The first use of the hymn topic as a transition occurs during the last eight measures of the first movement leading into the

[40] Marianne Wheeldon, "Debussy and *La Sonate cyclique*," *The Journal of Musicology* 22, No. 4 (Fall, 2005), 645.

[41] Ibid., 649.

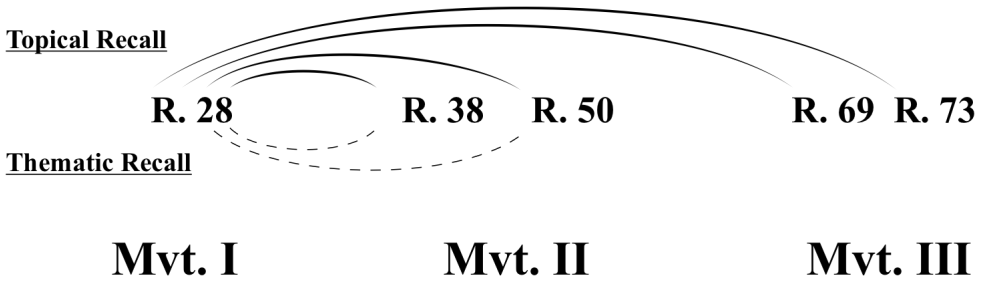
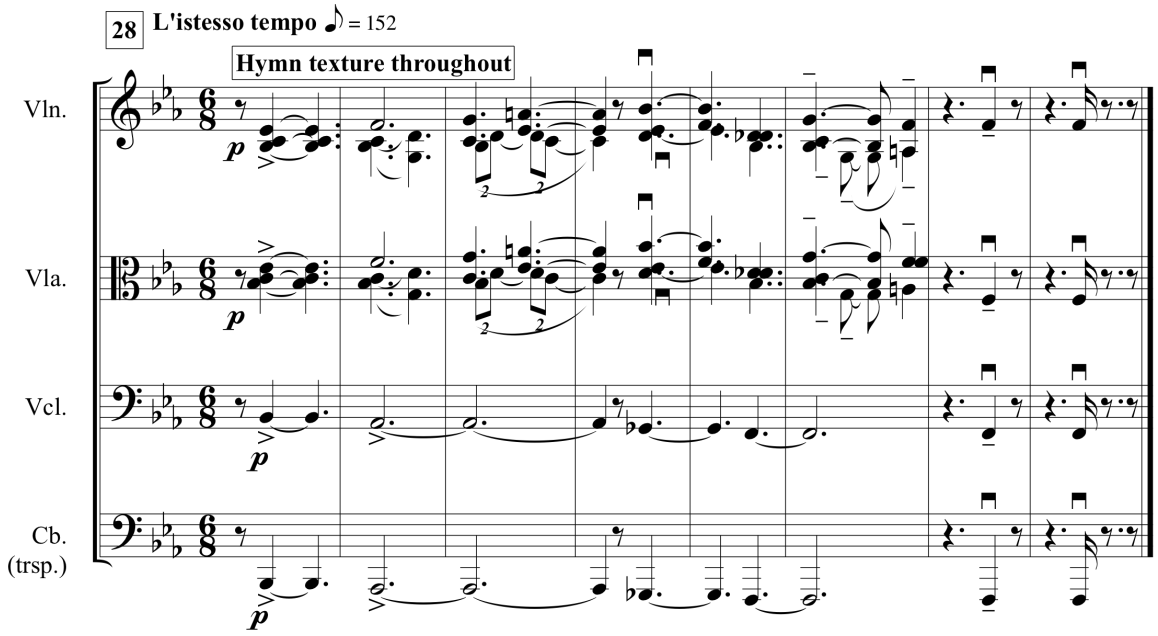



*Figure 4–4: Cyclic return of the hymn topic in* Dumbarton Oaks Concerto

second movement (see example 4–15). This phrase begins on a Bb–C–Eb sonority in a four-part texture, and ends on an F major triad. In the second movement, an abbreviated form of this same music returns three measures before R. 39 (except with a pedal Ab instead of a descending bass line), functioning as a transition between larger sections in the movement. The second movement also ends with a return of a similar phrase using the hymn topic, serving as a transition to the third movement (see example 4–16). While some of the metric, rhythmic, and motivic features of this music are similar to the first two chorales heard in this piece, the music is not entirely identical. The tempo is slower (BPM = 108, decreased from 152), the music begins with a D major collection and ends with a Bb major collection, and it is made up of a longer ten-measure phrase. However, given that the music is based on the same topic, and functions as a transition between movements, the connection between this and the previous two hymn topics is readily apparent. The brief hymn topics that serve as transitions between sections in the third movement (two measures before R. 70, and four measures before R. 74) function similarly but have no thematic relations to the other hymns used in this work.

Most of the thematic material throughout the *Dumbarton Oaks Concerto* can be characterized as a major mode toccata, written in a galant style chamber setting with



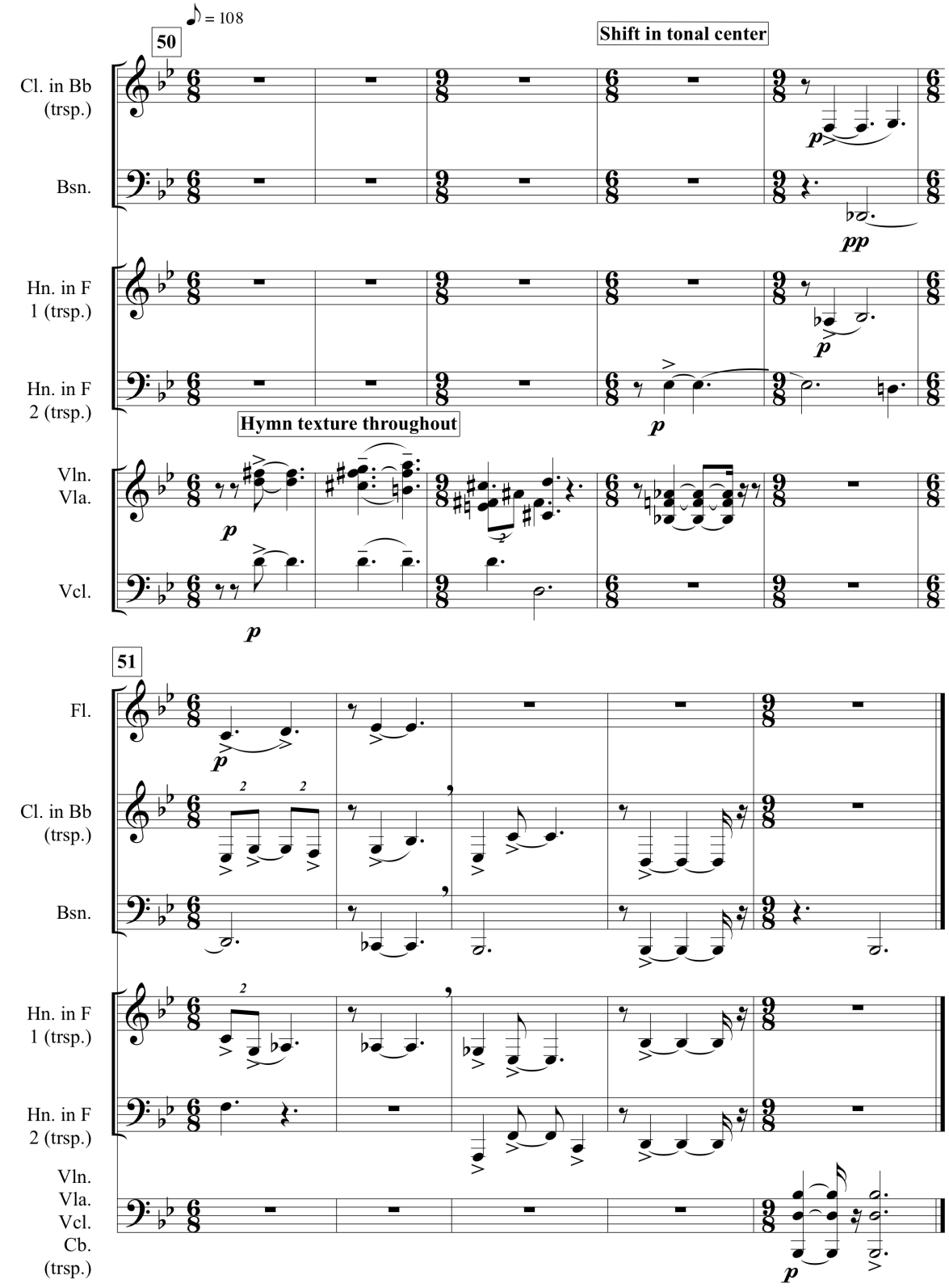

*Example 4–15:* Concerto in Eb "Dumbarton Oaks*," Mvt. I, R. 28*

primarily diatonic, tertian sonorities. The hymn topics thus provide a number of musical contrasts, with changes in meter, rhythm, tempo, harmony, and textural density. However, from a stylistic standpoint these hymn topics also represent particularly elevated stylistic moments, evoking a sense of "solemnity, tranquility, and transcendent spirituality," given the hymn topic's ecclesiastical associations.[42] As the hymn topic continues to reappear as a transitional passage throughout each of the movements in the *Dumbarton Oaks Concerto*, these returns both connect the movements topically and stand out as stylistically raised moments in the work's expressive discourse.[43]

Another example of topical recall occurs in Stravinsky's *Concerto for Piano and Wind Instruments* (1923–4), which begins with a largo opening for the orchestra in an A

[42] Eric McKee, "The Topic of the Sacred Hymn in Beethoven's Instrumental Music," *College Music Symposium* 47 (2007), 23.

[43] The return of the hymn topic in a transitional function is similar to Stravinsky's use of this same topic as a transition between the sections of the ternary form in the second movement of *Symphony in Three Movements*, albeit on a larger, multi-movement scale.




*Example 4–16:* Concerto in Eb "Dumbarton Oaks," *Mvt. I, R. 50–51*

minor tonal center (see example 4–17). Though not phrased explicitly in terms of topics, Stravinsky's discussion of his use of dotted rhythms reveals that he used such figures in this introduction as a conscious allusion to the eighteenth century:

> Dotted rhythms are characteristic eighteenth-century rhythms. My uses of them in these and other works of that period, such as the introduction to my Piano Concerto, are conscious stylistic references. I attempted to build a new music on eighteenth-century classicism using the constructive principles of that classicism (which I cannot define here) and even evoking it stylistically by such means as dotted rhythms.[44]

We can further associate Stravinsky's use of dotted rhythms in this introduction with the *ombra* topic, supported by the use of low register instruments and a mostly soft dynamic, all of which opens the work with an ominous tone.[45] However, the dotted rhythms in a slow tempo, simple meter, and minor mode context also allude to a funeral march, adding a sense of foreboding to this music's character.[46] Furthermore, this passage is written using the chorale texture of the hymn topic, adding a high stylistic sense of solemnity to the opening. The troping of *ombra*, funeral march, and hymn topics produces a sense of disquiet, foreshadowing the darker elements to appear later in the work.

The *ombra* topic is used in a cyclic manner in all three movements, acting as a formal framing device for the concerto (see figure 4–5). While the *ombra* theme of the introduction frames the first movement by returning at the end of the coda (R. 45), in the

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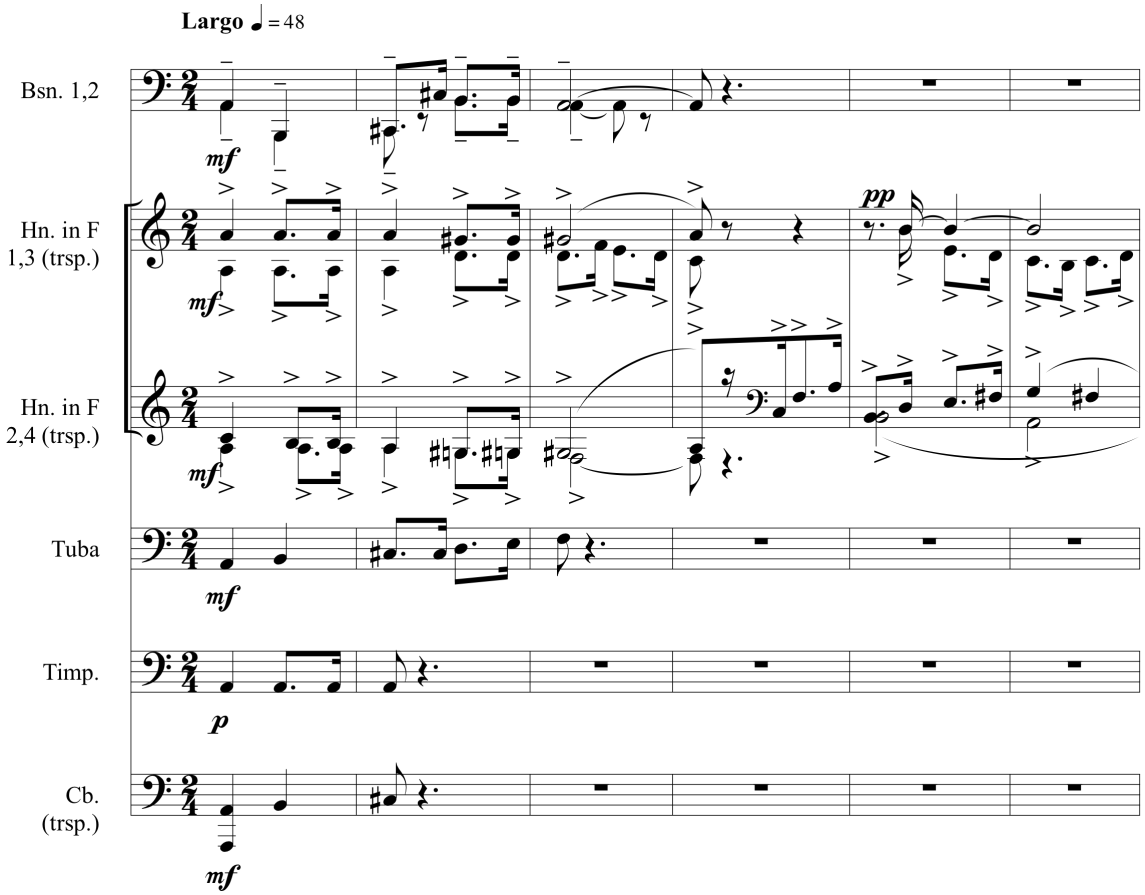
[44] Igor Stravinsky and Robert Craft, *Conversations with Igor Stravinsky* (London: Faber and Faber Ltd., 1959), 21.

[45] Clive McClelland, *Ombra: Supernatural Music in the Eighteenth Century*, 103. As McClelland states, "dotted rhythms are frequently used in *ombra* music. The uneven rhythm, like the tremolando, is a means by which to express fear and agitation, perhaps with the underlying suggestion of an irregular heartbeat."

[46] Janice Dickensheets, "The Topical Vocabulary of the Nineteenth Century," *Journal of Musicological Research* 31, No. 2–3 (2012), 104. As Dickensheets states, the funeral march "features a ponderous duple meter, evocative of the procession of a funeral cortege, which is usually enhanced by a dark minor mode. Dotted rhythms frequently prevail in the melodic material, and the repetition of these melodies, especially when paired with a repetitive bass line, can create a sense of inevitability."




*Example 4–17:* Concerto for Piano and Wind Instruments*, Mvt. I, mm. 1–6*

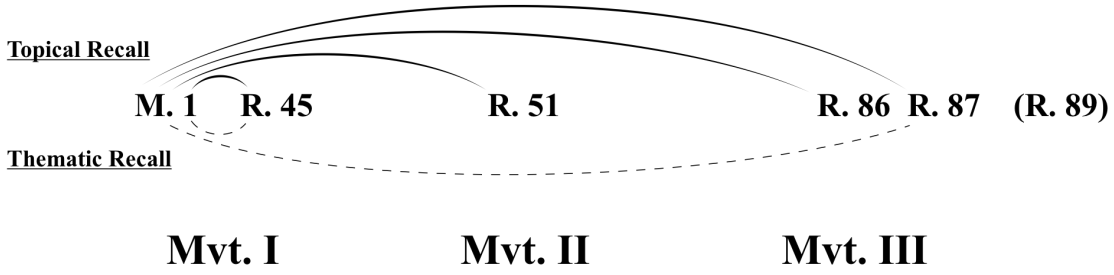
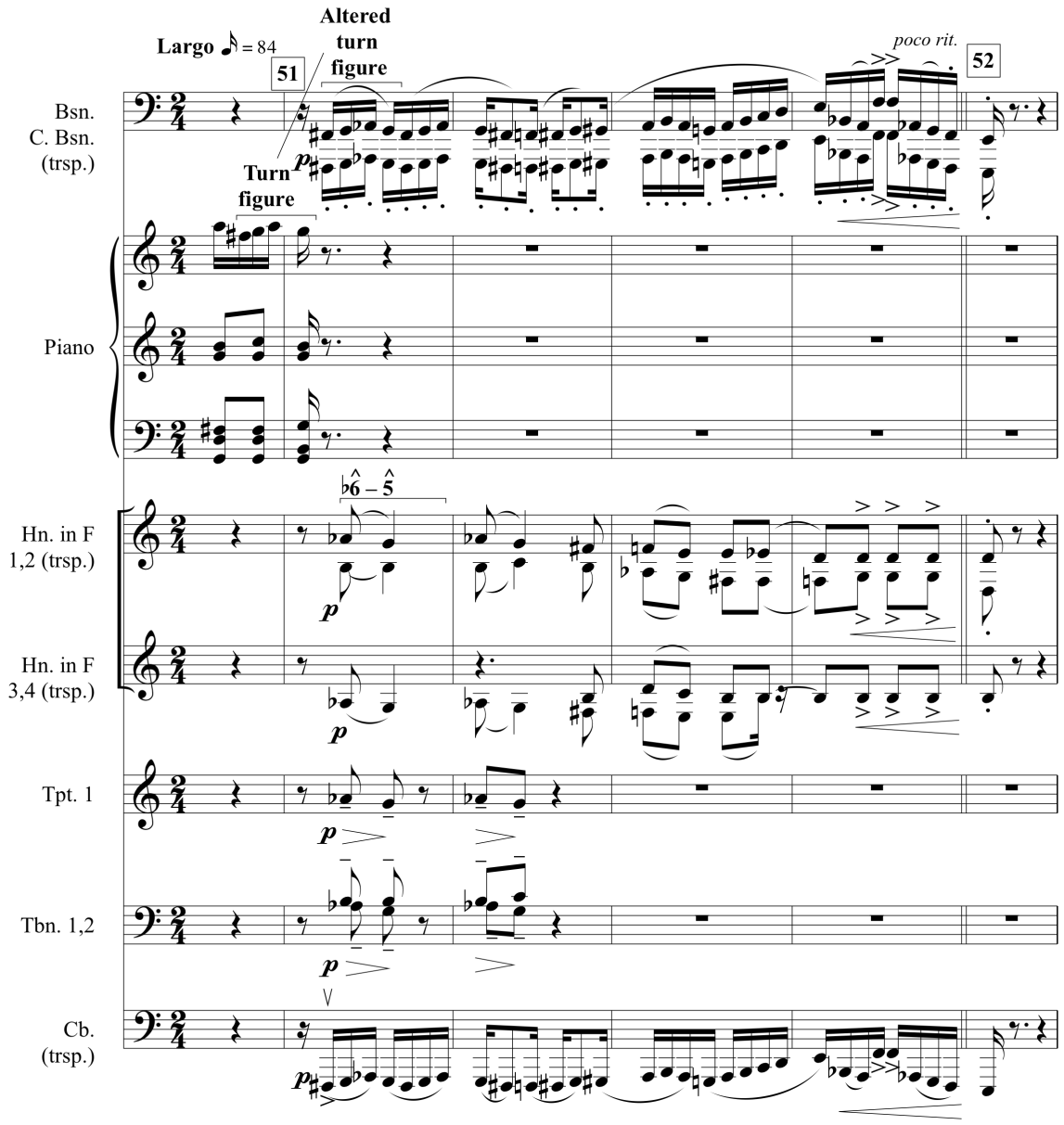



*Figure 4–5: Cyclic return of the* ombra *topic in* Concerto for Piano and Wind Instruments

second movement the *ombra* topic acts as a contrasting middle to the movement's more tranquil outer phrases. The second movement opens in a C major tonal center with a simple folk-like melody (almost entirely stepwise, with a range of less than one octave)

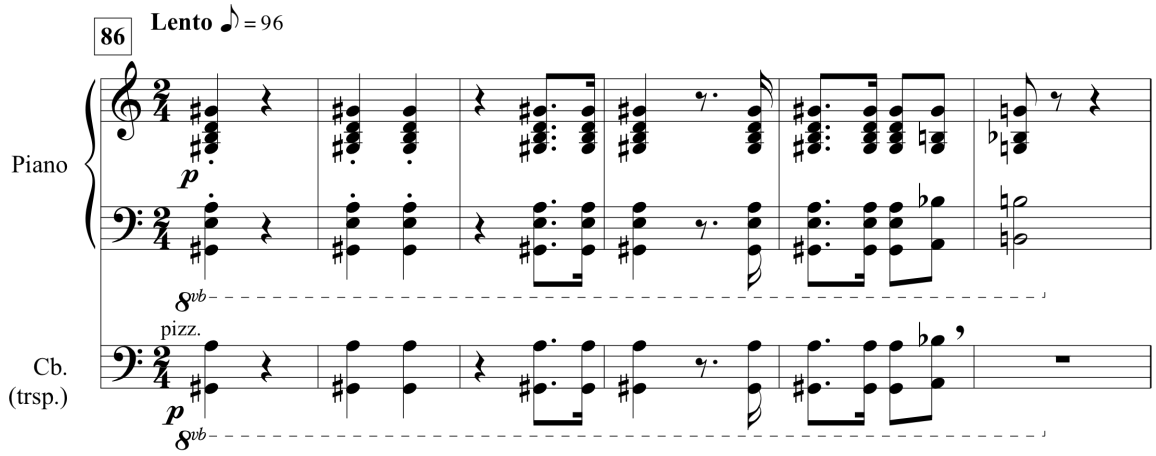
scored over a lush triadic accompaniment that incorporates elements of the hymn topic. In the measure before R. 51, however, the solo piano plays a simple turn figure circling G5, which is immediately repeated by the bassoon, contrabassoon, and contrabass in the lower register of G1 and G2 (see example 4–18). This drop in register, coupled with the chromatically altered form of the turn figure, utilizing Ab rather than A♮, suggests a change to the *ombra* topic. The use of the more dissonant Ab is further projected by the French horns, trumpet, and trombones, which repeat the Ab–G ($\flat\hat{6}$–$\hat{5}$) pattern played in the lower instruments, albeit at half the rhythmic value. This is a reversal of the *ombra* passages in the first movement's introduction and coda, both of which end with a mode change from A minor to A major. In the second movement, the transformation of the folk-like opening to the *ombra* topic at the end of the phrase represents another way in which the cyclic nature of the *ombra* topic's foreboding associations seem to create a consistent expressive background in the work.

Much of the third movement in the *Concerto for Piano and Wind Instruments* is composed using elements of ragtime, toccata, and march topics in an energetic manner similar to the first movement, but the *ombra* topic again interrupts the discourse, seemingly fulfilling its framing function for the work as a whole (see example 4–19). Following a high register full-orchestra *sff* in the previous measure, the music at R. 86 drops down to a *piano* dynamic, thin orchestration (only piano and pizzicato contrabasses), and a low register (the lowest possible registers for both instruments). Both instruments repeat the same dissonant sonority ten times using a staccato articulation and dotted rhythms, separated by rests in the first, third, and fourth measures that break up this rhythmic flow. All of this combines to create a sense of unease, recalling the fateful




*Example 4–18:* Concerto for Piano and Wind Instruments*, Mvt. II, R. 51*

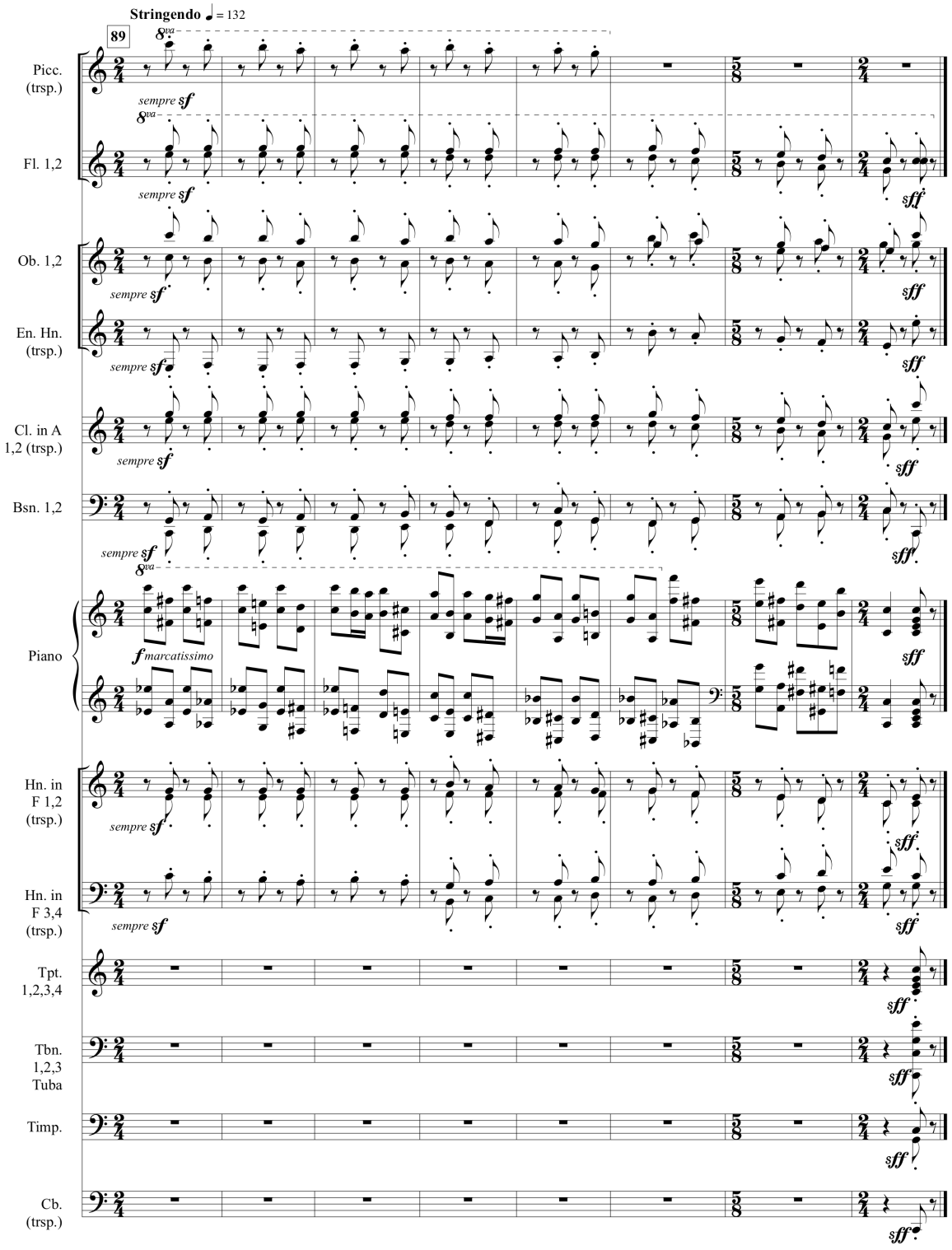
inevitability of the *ombra* topic, particularly after the full, rhythmically active textures used earlier in the movement. This music continues until two measures after R. 87, at which point the music restates the *ombra* theme from the first movement's introduction, albeit transposed to an Eb tonal center. The fact that this is essentially an exact restatement of the opening theme suggests that this music functions as a formal framing




*Example 4–19:* Concerto for Piano and Wind Instruments*, Mvt. III, R. 86*

device for the work, indicating that the piece could end using the same unsettled *ombra* material with which it began. This would give the work a formal sense of completion, given the cyclic restatement of the *ombra* topic used so prominently throughout the concerto, and in particular the use of the same *ombra* theme at the beginning and end of the work.

However, at R. 89 a simple eight-measure phrase with a lighter, *buffa* character disrupts the *ombra* theme to complete the piece in a C major tonal center, acting in opposition to the restatement of the introductory music (see example 4–20). From a formal standpoint we can understand that the *ombra* music could very easily have ended the work, fulfilling its framing function, but Stravinsky undercuts this more serious expressive character by writing a simple, upbeat, and lighthearted phrase to end the work. This is not unlike Hatten's interpretation of the "mini-drama" at the beginning of the first movement of Beethoven's Op. 31, No. 3 in which the cadential gesture in mm. 7–8 of the opening theme "deflates the pretensions of the preceding topics (pastoral, *ombra*,




*Example 4–20:* Concerto for Piano and Wind Instruments*, Mvt. III, R. 89*

noble/heroic) with a thoroughly *buffa* gesture."[47] In the *Concerto for Piano and Wind Instruments*, the preceding music is based on the *ombra* topic rather than a mini-drama of multiple topics, but the effect of a comic undercutting at the end of the work is similar. This is also significant, given that the *ombra* topic has created an expressive background throughout the piece through its cyclic use as a formal framing device. Thus, this *buffa* gesture subverts the *ombra* topic on both a local and a larger formal level.

While this *buffa* phrase seems to stand apart from the preceding music, this phrase still operates within the confines of the piece and thus influences our understanding of the work's cyclic form.[48] Within the structure of the work, this *buffa* phrase contradicts the *ombra* theme that precedes it, undercutting the somber expressions that characterized the cyclic theme. Outside of this structure, this *buffa* phrase causes us to reconsider the work's cyclic form and its *ombra* expressive genre. Throughout the work the *ombra* topic seems to be one of the more crucial components of the music's expressive associations, but the use of the *buffa* phrase calls the dominance of the *ombra* topic's associations into question, revealing a more lighthearted character at the end of the concerto.

Topical recall can work in different ways at different levels of formal structure. In the *Dumbarton Oaks Concerto*, the hymn topic functions as a transition between both movements and sections throughout the work. On the other hand, the *Concerto for Piano and Wind Instruments* uses the *ombra* topic primarily as a formal framing device, by its use at both the beginning and end of the piece (despite the fact that this function is destabilized with the piece's final *buffa* gesture). Given the prominence of formal placement in the *Concerto for Piano and Wind Instruments*, the *ombra* topic plays a

[47] Robert Hatten, *Interpreting Musical Gestures, Topics, and Tropes*, 169.

[48] This is similar to the syncopated chorale phrase the ends the third movement of the *Octet*, which is also unrelated to the preceding music.

larger structural role than the transitional hymn topic in the *Dumbarton Oaks Concerto*. As a result, the *ombra* topic in the former is more crucial to the work's expressive genre than the hymn topic in the latter, which only inflects the work's narrative trajectory. However, regardless of the formal level on which these topics operate, the cyclic return of topics always influences – and can even subvert – the work's presumed expressive genre.

# Chapter 5
# Conclusion

*"It is impossible to understand the 'unusual' experience which Stravinsky's music evokes without simultaneously attending to the 'usual' experience it negates."*[1]

This dissertation has explored several approaches that can be used to analyze potential stylistic and expressive meanings in Stravinsky's neoclassical works. Focusing on the composer's use of topics and tropes – specifically how the meanings associated with these figures changes from the eighteenth century to the twentieth – provides new avenues for analyzing the composer's music. Hatten's four axes (compatibility, dominance, creativity, productivity) offer effective analytical perspectives for understanding more precisely how topics can influence the expressive meanings of tropes in Stravinsky's neoclassical works. Dividing a trope into its constituent parts allows the analyst to examine the individual components of each topical interaction. All four axes reveal a different kind of insight, and combining these local and global perspectives can lead to more nuanced interpretations of how Stravinsky's musical and expressive associations of topics blend with one another.

Distorted topics provide yet another method for examining expressive meanings in Stravinsky's neoclassical music, this time focusing on his rhythmic and metric manipulations of certain dance topics. Shklovsky's concept of defamiliarization is important, for it suggests that many of the elements Stravinsky used were not entirely new, but rather reworked versions of past figures. As long as the musical figure in question can be identified as relating to a specific topic, some of the topic's original

[1] Nicholas P. McKay, "A Semiotic Evaluation of Musical Meaning in the Works of Igor Stravinsky: Decoding Syntax with Markedness and Prototypicality Theory" (Ph.D. Diss, University of Durham, 1998), 5.

associations will always be present. However, by significantly changing portions of these topics, the associations that a listener may make for each figure will undoubtedly be transformed. Careful stylistic and expressive study of each topic's origins should be coordinated with an analysis of the unique ways in which Stravinsky manipulates each figure in a particular context.

Finally, examining Stravinsky's appropriation of traditional formal models demonstrates how topics and tropes play an important role in the structural organization of the composer's neoclassical works. The first step in this analytical process is to recognize how Stravinsky utilizes and transforms these conventional formal models. Thereafter, observing the ways in which topics and tropes are incorporated into its structure can shed light on the possible stylistic and expressive meanings conveyed through the work's large-scale organization. Understanding the global relationships created through the expressive associations of topics and tropes can help to determine a work's expressive genre, and can highlight how these elements interact with and shape the music's formal and structural components. As this dissertation has illustrated, approaching the issues of stylistic and expressive meaning through Stravinsky's reworkings of conventional topics provides us with many new perspectives for analyzing the composer's neoclassical works.

The first movement of Stravinsky's *Violin Concerto*, a work discussed in each of the three preceding chapters, provides a compelling example of how all of these techniques can work together in a hypothetical expressive interpretation – one that perhaps even suggests a dramatic narrative. The pastoral topic governs the expressive genre for the movement as a whole, indicating a rustic setting, given the topic's

dominance in the introduction, main theme, and coda. Inflecting this bucolic sense throughout much of the movement, however, are the ceremonial qualities of the march topic, adding a celebratory quality to the setting. The march topic's associations, as well as those of the *tempesta* topic heard in the development, can be interpreted as inflecting and providing contrast to the movement's otherwise dominant pastoral expressive genre.

The dramatic gesture of the violin's opening chord operates like a fanfare, announcing the start of the festivities, after which the dance-like attributes of the distorted march begin. The slight shift along the dominance axis between pastoral and march topics in the second theme, and the introduction of *buffa* and *tempesta* elements, point to different aspects of the overall character of the movement. Even though this adjustment on the dominance axis between the main and second themes does take place, the relative consistency of the tropological makeup in the exposition section creates the expressive backdrop for the movement as a whole, in particular given that this material returns in the movement's recapitulation.

In the development section, the montage-like use of different themes, topics, topical distortions, and *buffa* gestures temporarily departs from this backdrop to explore a collection of different scenes. Initially, these brief images correspond more to the low stylistic associations indicated by the pastoral topic, developing these associations rather than the melodic material itself, and painting a more detailed pastoral mood than was depicted in the exposition. The second half of the development contrasts with the first, developing the high stylistic qualities of the march and *tempesta* topics alluded to in the exposition's second theme. These moments, however, are short-lived: following the climax of the development, the recapitulation returns to the scenario of the opening

tableau. Thus, using all of the analytical approaches outlined in this dissertation, we can arrive at a dramatic and nuanced expressive interpretation of the *Violin Concerto*'s first movement, almost akin to the explicit narratives of Stravinsky's theatrical works.

Another question raised by this dissertation is how topic theory and our understanding of how Stravinsky used these figures can help to clarify what the composer may have been trying to accomplish in his neoclassical works. We can consider topics along with other elements that Stravinsky borrowed in his neoclassical works to draw connections with past musical styles and composers. Martha Hyde terms one feature of Stravinsky's neoclassical style as "eclectic imitation," which "treats the musical past as an undifferentiated stockpile to be drawn on at will."[2] Though Hyde does not mention topics specifically, they can certainly be considered part of this historical cache. Unlike some of the other elements that Stravinsky borrowed from the past, however, certain topics have more potential to convey stylistic and expressive meanings. The fact that he availed himself of recognizable topics suggests that he was at least aware of their expressive connotations, if not using them deliberately for such purposes. As Maureen A. Carr suggests, Stravinsky was always cognizant of crafting a certain image for himself, both in terms of his public persona and his music:

> Just as Stravinsky used the ideas of others for his own purposes, he also used musical influences in a similar manner. As with the literary sources, Stravinsky rarely cited his musical sources and they can be difficult to identify, unless of course the composition is an arrangement of another's work. Stravinsky frequently succeeded in masking the influences of his 'previous works' and those of others because he reshaped the musical ideas that he borrowed and wove them into his musical fabric.[3]

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[2] Martha M. Hyde, "Neoclassic and Anachronistic Impulses in Twentieth-Century Music," *Music Theory Spectrum* 18, No. 2 (Autumn, 1996), 211.

[3] Maureen A. Carr, *Multiple Masks: Neoclassicism in Stravinsky's Works on Greek Subjects* (Lincoln, NE: University of Nebraska Press, 2002), 15.

In this light, Stravinsky's adaptation of topics and tropes can be related to how he managed and manipulated his own public image. His comments on music have received a great deal of scrutiny.[4] Perhaps the best case of this latter point is his famous 1936 statement that "music is, by its very nature, essentially powerless to *express* anything at all," which the composer later amended in 1962:[5]

> That over-publicized bit about expression (or non-expression) was simply a way of saying that music is supra-personal and super-real and as such beyond verbal meanings and verbal descriptions. It was aimed against the notion that a piece of music is in reality a transcendental idea 'expressed in terms of' music, with the *reductio ad absurdum* implication that exact sets of correlatives must exist between a composer's feelings and his notation. It was offhand and annoyingly incomplete, but even the stupider critics could have seen that it did not deny musical expressivity, but only the validity of a type of verbal statement about musical expressivity.[6]

Comparing Stravinsky's 1936 and 1962 statements suggests that he was both detached from their meanings and skilled in the art of polemics. We can view his use of topics in his neoclassical works in a similar way. The composer undoubtedly knew the historical freight associated with these characteristic figures, and similarly understood how to arrange them so as to convey a certain expression at a given time. Stravinsky's 1962 statement also implies that he did in fact recognize music's ability for expression, despite how his earlier 1936 comment may be interpreted. He did not deny the idea that music can convey some form of expressive meaning to the listener, and this later admission

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[4] For example, Stravinsky's use of ghostwriters for the *Poetics*, and the degree to which he may or may not have meant or believed certain comments he made over the years. While many scholars have questioned whether or not Stravinsky always spoke truthfully to how he felt about certain issues, some of the more recent and relevant to the present study are those who were cited in chapter one of this dissertation: Carr (2002, 297), Levitz (2012, 361), McKay (2007, 172), and McKay (2012, 249). For a detailed examination of the collaborative writing process behind Stravinsky's *Poetics*, see Dufour (2013, 225–54).

[5] Igor Stravinsky, *An Autobiography* (New York: W.W. Norton & Company, 1998), 53.

[6] Igor Stravinsky & Robert Craft, *Expositions and Developments* (Berkeley, CA: University of California Press, 1981), 101.

lends support to the notion that he may have used topics as a way to convey expressive meaning without feeling personally attached to any fixed expressive interpretation.

Topic theory is thus a potentially valuable approach to analyzing Stravinsky's neoclassical works. The approach in this dissertation has primarily focused on analyzing topics from the perspective of their eighteenth-century contexts, but there are multiple viewpoints that can be taken into account using a topic theory analytical approach. Given that topics continued to be used and developed throughout the nineteenth and twentieth centuries, a focus on the way in which certain topics developed past the eighteenth century might yield different interpretive results:

> The nightmare of modernism made some of us think that musical meaning, in any ordinary sense, was finished. But all that is past. Postmodern composers again write meaningful narratives, even suggesting familiar topics…. Perhaps a new topical map needs to be drawn, recalling that Debussy and Vaughan Williams found new topical worlds and that topics grow, prosper, and decline like everything in music.[7]

Focusing on this "new topical map" can illustrate specific and fruitful connections with the past. Moreover, topic theory can also be useful for interpreting potential expressive meanings in music, especially in twentieth-century music, given that the development of certain topics over time allowed for a wider range of possible expressive formations. The idea that topics are multivalent likely appealed to Stravinsky, given his use of these figures to achieve different modes of expression in various works. For example, Monelle discusses this issue with regard to the march topic.[8] As he suggests, military heroism is central to our concept of the military topic, and while many twentieth-century composers

[7] Raymond Monelle, *The Musical Topic: Hunt, Military, Pastoral* (Bloomington, IN: Indiana University Press, 2006), 273.

[8] Ibid., 175–181.

chose to paint this quality in an ironic or dysphoric light, "it cannot be pretended that the military topic is naturally ironic or parodistic."[9] Stravinsky capitalized on the march topic's multivalence throughout his neoclassical works, using this figure for a number of different expressive purposes. With the distortion of this topic's characteristic rhythmic structures at the beginning of the *Violin Concerto*, he conveys a more festive atmosphere in its trope with the pastoral topic, rather than depict the topic's more usual heroic associations. In the *Concerto for Two Pianos*, however, using the march topic in a trope with *tempesta* and brilliant style elements, he evokes a musical tension that casts the march topic in a more anguished expressive state. Understanding the possible associations that can be attached to the march topic and topics in general is crucial in making informed interpretive decisions regarding the expressive nature of the composer's neoclassical works. As the above analyses demonstrate, examining Stravinsky's neoclassical works as a commentary upon previous musical topics and styles – and their associated expressive meanings – can shed light on another aspect of how the composer makes the past present in his neoclassical works.

[9] Ibid., 181.

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